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ABSTRACT

This report contains papers presented at the Three-Nation Workshop on Academic Governance by participants from the United States, Switzerland, and Japan. These papers are based on comparative studies of a survey topic originally developed in Japan. The papers are: (1) "Comparative Study of Academic Governance: Its Purpose and Framework" (keynote paper, Akira Arimoto); (2) "Present Situation of the University Management" (Atsunori Yamanoi); (3) "Present Situation of the University Reform" (Tomomi Amano); (4) "Management of the University in the 21st Century: A Brief Report as the Case of National Universities" (Naoyui Ogata); (5) "Responsiveness, Responsibility and Accountability in Swiss University Governance" (Luc Weber, Yuko Harayama, and Francois Grin); (6) "Accountability and Market Responsiveness in the United States" (Robert Zensky and Gregers Dubrow); and (7) "Dimensions of Comparison with a Focus on Importance of Governance Structure" (concluding remarks, Akira Arimoto). Each paper contains references. (Contains 20 tables and 44 figures.) (SLD)

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UNIVERSITY REFORMS AND ACADEMIC GOVERNANCE

Reports of the 2000 Three-Nation Workshop on Academic Governance

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PREFACE

As a part of the Six-Nation Education Research Project, Three-Nation Workshop on Academic Governance was held in Research Center for University Studies, University of Tsukuba, Tokyo, on February 24-25, 2000. This report is issued based on the papers presented to this workshop by participants from U.S.A., Switzerland, and Japan.

In the Six-Nation Education Research Project, which was started in 1994, six countries have their own projects. Japan has been responsible for conducting higher education research project with cooperation of five countries including U.S.A., China, Switzerland, Germany, Singapore. As a result of this international cooperation two international seminars took place in Hiroshima in 1997 and 1999: the former dealt with the topic of "Academic Reforms in the World: Situation and Perspective in the Massification Stage of Higher Education"; the latter focused on "Higher Education Reform for Quality Higher Education Management in the 21st Century; Economic, Technological, Social and Political Forces Affecting Higher Education".

Through these seminars, participants have paid much attentions to necessity of pursuing academic reforms in the rapidly changing society and have discussed intensively about many problems related to the academic reforms including president leadership, governance, funding, accountability, autonomy, etc. These problems are considered to be important factors that today's academic organizations are facing in the context of survival in social change.

From this perspective, theme dealt in the workshop seems to be indispensable and useful at the current stage of higher education project's development. Three nations consisting of Japan, U.S. and Switzerland have made cooperative work on the basis of the questionnaires of survey that Japanese team originally conducted. This kind of international comparative study is needed to have information about the changing situations of academic organization and especially of governance in academic organization, though some modifications were to be made in accordance with various situations in their own countries.

Through two-day long, intensive and fruitful discussions, it becomes evident that all countries are confronted with the same kind of problems in the academic governance, administration, and management, even though it is true that they are experiencing different aspects in the different places.

Under the increasing development of market mechanism, conflicts between top-down and bottom-up management and also conflicts between accountability and academic autonomy are likely to be looming large. As Japanese team analyzed, perspective of strategic management is needed to

innovate academic organizations under the current social expectation and pressure toward realizing their efficiency, openness, diversity, and flexibility.

On behalf of a director of higher education research project and a moderator of the Three-Nation Workshop, I would like to express my heartfelt thanks to all the participants at the workshop meeting as listed below and especially to those who have contributed papers to this volume.

I hope that this volume will provide some useful and meaningful influence on academic governance, one of the most important topics in the higher education research project and also on the development in higher education as well.

January 2001

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Table of Contents

i Preface

1 Keynote Paper

Comparative Study of Academic Governance: its Purpose and Framework
Akira Arimoto, Hiroshima University

11 Part I Japan

11 1. Present Situation of the University Management
Atsunori Yamanoi, Hiroshima University

33 2. Present Situation of the University Reform
Tomomi Amano, Hiroshima University

37 3. Management of the University in the 21st Century: A Brief Report as the Case of National Universities
Naoyuki Ogata, Hiroshima University

43 4. The Role of Universities in Relation with Changing National Economy from the Case in Japan
Shinichi Yamamoto, University of Tsukuba

55 Part II Switzerland

Responsiveness, Responsibility and Accountability in Swiss University Governance
Luc Weber, Yuko Harayama, François Grin
University of Geneva

111 Part III U.S.A

Accountability and Market Responsiveness in the United States
Robert Zemsky, Gregers Dubrow
University of Pennsylvania

141 Concluding Remarks

Dimensions of Comparison with a Focus on Importance of Governance Structure
Akira Arimoto, Hiroshima University

Keynote Paper

Comparative Study of Academic Governance: its Purpose and Framework

Akira Arimoto
Hiroshima University

Comparative Study of Academic Governance: its Purpose and Framework

Akira Arimoto
Hiroshima University

Purpose of Study

The main purpose of this study was to identify the current trends of academic organizational reform in several countries by investigating their actual situations as well as through considering the relevant research data. The necessity for this approach arises for a number of reasons (Cf. Arimoto and Morgan, eds., 2000).

- Universities and colleges are confronted with a situation in which they cannot explain adequately the reasons for their existence without adopting the procedures of accountability. This is true even though they occupy a position of considerable esteem in society due to the rise of the massification stage- and even of a post-massification stage--- of higher education. In the severe resource situation for higher education apparent in many countries, introduction of market mechanisms into the competition for human and physical resources seems to be increasing to a considerable degree.

- Universities and colleges are usually expected to make a social contribution by promoting academic productivity through the constant pursuit of academic work in the categories of research, teaching and social service which are dependent on academic disciplines.

- Accordingly, it is assumed that the problems of conflict and their resolution will be reflected in the process of academic organizational reform. Conflict arises from the social demands, mostly derived from pressure from national and local government and society, and the academic demands mostly originating inside academe.

- In an academic organization, a dynamic mechanism of innovation and transformation resulting in progress towards a new organization will be derived from the interactions of these forces.

In this context, universities and colleges have no alternative but to pay regard to societal demands in effecting their organizational reforms. Consequently, we are required to promote an intensive study of the existing trends of developments in regard to the various phases of these factors.

Factors contributing to the organizational reforms

It is evident that academic organizations are seeking to identify modes of operation appropriate to the functions of knowledge and academic disciplines. In doing so, it becomes necessary to consider the nature of knowledge, its systematic structure and the corresponding academic disciplines. If we examine the structure and function of knowledge, a number of elements emerge. The functions of knowledge can be identified with five modes: understanding, discovery and invention, dissemination, application, and control (Table 1) (Cf. Arimoto, 1996).

Each of the knowledge functions carries an implied operator: understanding implies learning or study; discovery implies research; dissemination implies teaching; application implies social service, and control implies administration. Universities and colleges establish their own structures, arrangements and systems to perform the academic work implicit in these functions.

Table 1. Knowledge Functions and the Corresponding Academic Organization

Knowledge Function	Equivalent	Academic Organization
Understanding knowledge	learning/study	learning/study organization
Discovery of knowledge	research	research organization
Dissemination of knowledge	teaching	curriculum and teaching
Application of knowledge	social service	social service organization
Control of knowledge	administration	administration and management

The priority given to them is commonly not equal--- in many modern universities the highest priority is apt to be given to research. One of the inescapable problems is how this can be modified so that the process of academic reforms throughout the world can lead to effective integration of research, teaching and learning. Accordingly, such academic reform has to have close connection with specific reform of institutional organization (Arimoto, 1996, Arimoto, ed., 1997).

a. Research Organization

The structure appropriate to discovery of knowledge is one that the institution expects will allow it to pursue research most effectively. In general, research groups are located in organizational units appropriate to academic disciplines such as institutes, chairs, departments or faculties. In Japan, sho-koza, or the "small-size chair" system has been the standard pattern for many universities, especially research

universities. It is derived from arrangements found in the former imperial universities before the war. In this system, a "chair" consists of three staff--- a professor, an associate professor and a research associate, though in an experimental discipline the number would be larger with normally two or three research associates.

Transformation of the "small-size chair" system to dai-koza, the "large-size chair" system, and further to a departmental system has been occurring through restructuring at the operational level of academic organization. A "chair" of the dai-koza type consists of many more staff including several professors and associate professors as well as more research associates; it yields a unit similar to that of a department.

In addition it is noteworthy that there has been an accompanying tendency to separate the organization for research from that for teaching, despite the fact that both have previously coexisted within the same Faculty organization. This may be recognizable as a tendency to identify the department as the research organization and the Faculty as the teaching organization, a system observable in the United States. However, it appears that such a development has yet to become popular among Institutions.

b. Teaching Organization

There exists a clear border-line between the teaching organization appropriate to dissemination of knowledge and the research organization corresponding to discovery of knowledge. The German model, which attempted to integrate the organization of teaching and research within Faculties was effectively institutionalised in Japan. It is only recently in Japan that there has been any attempt to separate the organization of these two functions.

In the Carnegie International Survey on the Academic Profession, it is said that in Japan differentiation in the importance attached to teaching and research--- or rather an indifference to teaching - has developed to the extent that many Japanese professors are much more involved in research than in teaching; this is despite the fact that they belong to Faculties where the organization presumes a level of integration (Altbach, ed.,1996). The problem of integration become more acute at a time when the amount of teaching at the undergraduate level has increased as a result of massification of higher education. Indeed, coexistence of Faculty arrangements for research and undergraduate teaching are tested to the limit by the effects of massification and post-massification (Arimoto, ed., 1997).

Increased pressure for separation of and differentiation between the structures for research and teaching can be identified with two separate forces. First, the trend to differentiate between research

specialisms encourages a separation of the organization of teaching and research; second, the ability to concentrate on teaching at the lower, undergraduate level and on research at the upper, postgraduate level becomes essential to satisfy demands for effectiveness in both teaching and research functions. The important problem is how to divide the two functions between undergraduate and postgraduate courses without causing severe conflict.

c. Social Service Organization.

The social service function corresponding to the application of knowledge is sometimes identified as a "gray zone" and one less clearly defined than the teaching function. Accordingly, organization of this function itself remains undefined. However, academia does not function as an isolated island and can no longer pretend to inhabit an "ivory tower". To function it requires understanding of and from society and the consequent funding and supply of resources. The relationship between academia and society is already changing rapidly in the direction of providing much closer mutual interaction. In effect, this corresponds to an environmental shift from mode 1 to mode 2 and, by analogy, to a shift of the knowledge function from an analogue to a digital mode.

In addition, organizational innovation seems to be indispensable to meet the emerging social demand for university extension programs, lifelong learning and the wider cooperation between university and society at large. As the Japanese team will discuss in this workshop, from the perspective of social service, socialization of organization is a required component.

d. Administration and Management Organization.

Corresponding to its function in the control of knowledge, an administrative and managerial organisation is required to deal comprehensively with the functions and organization of research, teaching and social service. This makes it inevitable that administration and management are identified as prime objectives of academic reform. Management of academic institutions is increasingly confronting problems of survival under conditions of economic retrenchment, accountability in the use of resources, and even questions of the raison d'etre for academe in society.

Administration and management takes one of two general forms: the top-down type which provides for control of the whole institution from the top, as is shown by the hierarchical authority given to trustees and presidents; and the bottom-up type, which, in contrast, provides for institutional control from lower-level operating units such as the institute, chair, department or Faculty. It is said that the former represents a centralization of authority where powers are concentrated--- and may even be monopolized---- in the hands of the Trustees and President. On the other hand, the bottom-up type

may be seen as a decentralization of authority, where power is distributed amongst faculty members at the levels of institute, chair, department or Faculty and shared with representatives of faculties at meetings of the Senate.

It is useful to consider the following facts in making a comparative analysis of reforms related to the current trends in administration and management.

- In European universities there has been a lengthy tradition of a structure with strong autonomy at Faculty level together with provision for strong residual authority at the Ministry of Education, while the Rector has exercised only limited powers. In contrast, in the United States it is the governing Trustees and President that traditionally have held power, while Faculties have been allowed only a comparatively limited degree of autonomy.

- As far as the position of the presidency is concerned, it might be said that the European and American types are distinguishable: Rectors with rather limited power and Presidents with strong power.
- In Japan a dipolar system operates, especially in the national university sector (and also in the public universities). A dipolar system means that there are two centres of governance, exercising authority in control and decision-making: one is located at the Ministry of Education; and the other at individual institutional Faculty meetings. Following Burton Clark's triangular model--- of state, oligarchy, and market--- hegemony in Japan is split into two parts, state and oligarchy (Clark, 1983). Traditionally the state has retained strong power over the system as a whole through the Ministry of Education. Within individual institutions--- and especially in the national university sector--- Faculty meetings and hence faculty members have enjoyed relatively greater powers than either Presidents or members of the university Senates (Daigaku Shingikai, 1998). However, the University Council recommended in its 1998 report that the powers of the President needed to be increased. This policy is now being implemented by individual national universities throughout the country.

Transformation of academic administration and management from the "rectorial" to the "presidential" model is recognizable not only in Japan but also recently in European countries (Arimoto, ed., 1997). From such a trend, we can easily perceive an inclination to introduce to academic institutions the managerial mode of business organizations. With the accompanying introduction of the concepts of market mechanisms, deregulation, privatization and accountability, policies are likely to be adopted for the various higher education systems that stress top-down administration and management and simultaneously restrict autonomy to the level of the whole institution rather than devolve it to Faculty level.

Concepts of management are permeated by a logic of business and commercial administration so that an alternative perspective of academic management in terms of a logic of academic organization is questioned. In reality, however, there are different traits working in the two systems so a more detailed comparison is needed to identify the implications.

Viewpoints for Analysis

As has already been pointed out, from the viewpoint of an organization's response to the knowledge function, a range of analyses is required to make a comprehensive study of academic organizational reform. Specifically, there is a need for analysis of the organizational structures for research, for teaching, for social service, and for administration and management. While it is not unreasonable to suggest that a workshop intending to focus on academic governance might be expected to deal exclusively with the organization of administration and management, the survey originally conducted in Japan has covered all four areas. It is clear that, in a situation where academia is confronted with the problem of survival of its social function under severe societal demands, reform of administration and management has to be put at the center of academic reforms. Even so, reform for overall survival of the academic institution becomes increasingly dependent on the form of administration and management in terms of factors such as usefulness, leadership, decision-making, and practice-oriented ability in the context of the functions of research, teaching and social service. Accordingly, it is necessary to have available the results of comprehensive comparative studies with such a perspective across sectors and institutions.

In considering the prestige and power structure in Japanese universities and colleges, it is necessary to distinguish between the national (and public) sector and the private sector. In the national sector, where--- as described above--- a bottom-up mode is established, the strongest power is usually exercised at the level of Faculty meetings; lesser power exists at the level of Senate meetings and least power at the level of the presidency. In the post-war period, Faculties of Japanese universities, especially those of the national sector have largely taken a dominant responsibility for administration and management, while Presidents and Senates (even though they consist representatives of the Faculties) have exercised smaller authority.

After reviewing this distribution of powers, a report of the University Council proposed in 1998 that the ability of Presidents to provide leadership should be strengthened (Daigaku Shingikai, 1998). In practical terms the increased power given to Presidents in the national and public universities has been demonstrated by establishment of positions such as vice-president (fuku-gakucho) and assistant

president (gakucho-hosa). Similarly, the University Council indicated that the power of Trustees in the private universities should be strengthened. Accordingly, it becomes apparent that gradual reform towards top-down management and centralized control of individual institutions is now taking place in all university sectors, national, public and private.

Framework and Methodology for the Study

The preceding discussion allows the following basic structure to be identified for the framework for study.

(1) Nations to be Studied.

In the Six-Nation Higher Education Project it is naturally expected that studies will include all six nations (China, Germany, Japan, Singapore, Switzerland, and the United States). but for the purposes of comparative analysis, this workshop will concentrate on the results available from the three participating countries (Japan, Switzerland, and the United States). Recent research has demonstrated the importance of relating comparative studies in higher education research to existing policy and practice (Cf. Teichler and Saldak, eds., 2000; Schwarz and Teichler, eds., 2000). By identifying some of the political and practical contexts, this workshop and the reports on which it is based go some way towards reflecting these relationships and provide an intermediate stage in incorporating them fully in the study.

(2) Objectives to be studied.

The essential objectives are indicated to be:

- comprehensive study of academic reform in the areas of higher education systems research, teaching, social service, and management and administration constitutes an overall objective; and
- while dealing analytically with academic organization for the four areas, making academic governance the focal point of the study.

(3) Framework for Analysis

In the process of analysing academic organizational reform in Japan, the following six indicators were adopted as showing the direction to be sought in academic reforms responding to social change (Arimoto, ed., 1997).

- High qualifications: promotion of reform by levelling up institutional quality;

- Cooperation: promotion of reform in regard to cooperation with other institutions through mutual exchanges;
- Socialization: promotion of reform in the context of regional society by university extension programs and mutual interaction;
- Internationalization: promotion of reform by development of the university's program of international activities, attitudes, studies, and linkages;
- Interdisciplarization: promotion of reform in relation to the development of knowledge through interdisciplinary studies.
- Information-orientation: promotion of reform appropriate to an information-oriented society.

These six indicators are related to the four areas, research, teaching, social service, and administration and management, in order to estimate the extent of reform actually realized. So, for example, in the area of administration and management, the extent of reform actually achieved is indicated by changes to achieve institutional quality, cooperation, socialization and interdisciplinarization. In addition, the following four indicators are used to estimate the specific extent of academic organizational reform:

- diversity;
- flexibility;
- openness;
- efficiency.

Combining these four indicators with the four areas, research, teaching, social service, and administration and management, we are able to estimate the extent of academic organizational reform. If, though, the automatic combination of an indicator and an area turns out to be inappropriate, it is deemed sensible to omit it. So, for example, if the concept of "efficiency" seems not to be suitable for the areas of research, teaching and social service, it may be excluded. Similarly, the indicators "diversity" and "flexibility" may be omitted from the areas of both administration and management and of social service; and it may also be appropriate to omit the indicator "openness" from administration and management. On this basis, "efficiency" remains as the sole indicator of reform for the area of administration and management; and "efficiency" and "openness" provide the criteria for social service.

This framework was adopted for the National Survey on Academic Organizational Reform. The survey was conducted both at the level of the whole university, with the President or Secretary General as respondent, and at the Faculty level, where the Dean or Secretary General responded. When the questionnaire was used in countries other than Japan, even though the framework needed to be modified

in detail to satisfy the special conditions relating to academic reform in individual countries, the essential basic framework and purpose of the questionnaire was retained without modification.

(4) Methodology of Survey.

Basically in each country, the survey carefully followed the framework and purpose of the questionnaire originally conducted in Japan. It was modified only where necessary to accommodate differences arising from variations in academic reform in individual countries.

In Japan, questionnaires were mailed (on 20 June, 1996) to a sample of universities and faculties taken from "The List of Nationwide Universities" (ed. Ministry of Education, 1996 edition). A deadline for return was fixed (20 August). The final return rate was 62.5% from universities and 62.5% from faculties.

[This paper is based on the Keynote Paper, "Comparative Study of Academic Governance: its Purpose and Framework", presented to the Three-Nation Workshop on Academic Governance held at the Higher Education Research Center, Tsukuba University, on February 24-25, 2000]

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Part I

Japan

1. Present Situation of the University Management
Atsunori Yamanoi, Hiroshima University

2. Present Situation of the University Reform
Tomomi Amano, Hiroshima University

3. Management of the University in the 21st Century:
A Brief Report as the Case of National Universities
Naoyuki Ogata, Hiroshima University

4. The Role of Universities
in Relation with Changing National Economy
from the Case in Japan
Shinichi Yamamoto, University of Tsukuba

1. Present Situation of the University Management

Atsunori Yamanoi
Hiroshima University

The purpose of my report is mainly to focus on the trend of improvement of Japanese universities, especially regarding Japanese university's government and management in the perspective of our framework to which I have already suggested at Swiss Conference 1998. On this workshop, it is my intention to analyze the result of survey concerning ideal types of university governance and management which university teachers strongly expect. I would like to draw the present situation, managerial issues or major weakness of Japanese universities in fresh perspectives of participating countries of SNERP.

Concretely, it is our hope to discuss the principle of 'Shared Governance', in particular, the efficient allocation of decision-making power among top management of university presidents, deans and faculty autonomy. In accordance with the global capitalism or marketism, Japanese Government and Ministry of Education, Science and Culture have already expressed to change the sectorial type of Japanese national universities to the Independent Administrative Corporation in 2000. I would like to suggest some of managerial tasks of Japanese higher education to meet these challenges at the beginning of the 21st century. To this end, my report is constituted of the results of two our surveys, which follows.

(1) National survey on university' presidents and deans
(2) A case study on faculty of Hiroshima University

First, I would hope to totally examine the trend of academic reforms in Japan on the basis of their presentations of Professor Arimoto and Mr.Amano.

a) How has research organizations of universities been reformed in accordance with social change?
b) How has teaching organizations of universities been reformed according to social change?
c) How has social service organization of universities been reformed according to the coming social change?

Second. It is very important and also indispensable to state how Japanese university governance and management were changed in accordance with global

capitalism or marketism. The managerial structure of universities as well as specification of president's, dean's or faculty's responsibility should be considered in accordance with those of whole university. On this end, it is necessary to referred to the reforms of each managerial organization. Under the principle of marketing, universities may be requested to implement Top-Down decision-making style. While they are also expected to establish new partnerships and cooperation with communities and firms in order to offer university information and listen to public opinion. So, my analysis is as follows.

a) Which kind of effective reforms concerning university governance and management do presidents or deans expect?
b) How has advisory organizations to support presidents governance been established by now?
c) What kinds of committees have been founded in order to proceed effectively the improvement of universities?
d) How has the faculty meeting been reformed in order to proceed with effective roles.

Third, I would like also to report on the opinions of university teachers concerning president's roles, university governance, autonomy of faculty meeting in the case study of Hiroshima University.

a) Which kind of roles of Presidency does faculty expect on the university governance?
b) Which kind of roles of Senate or Meeting of Deans does faculty expect on the management of universities?
c) Which kind of main committees did each university establish in order to perform university reforms and management effectively?

Ⅰ. National Survey on Academic Reforms to presidents and deans

1. Framework for Analysis of Academic Reforms

In analyzing the present situations of reforms of Japanese universities, we may introduce the following framework scheme of analysis as shown in table-1.

Table-1 Framework for Analysis of Academic Reforms

Response to Social Changes Inside and Outside University	Identity of University
	Organization and Function of University
	1. Diversity 2. Flexibility 3. Openness 4. Efficiency
1. High Qualification 2. Cooperation 3. Socialization 4. Internationalization 5. Interdisciplinary Relations 6. Information Oriented	Teaching Organization and Function Research Organization and Function Managerial Organization and Function Social Service Organization and Function

Evaluation of the Credibility and Accountability of University.

The first perspective is a level for the response to social changes inside and outside university. This may be defined in many ways as it has different dimensions. The first term 'High Qualification' will be used to describe a process to improve, upgrading of education and research organization and functions of university which are reforms of graduate school and improvements of curriculum, educational methods, university entrance at the undergraduate level. Also, the second term 'Cooperation' will be used as concepts of cooperation and interaction between universities which are improvements for interchange of students, credits and social services between universities at the educational and social service level. At the level of research, this term will be referred to a process of the Cooperation of research between universities as well. The third term 'Socialization' will be used as concepts of relationships between university and community, and accessibility to the university from societal community which will be contained the improvements of university entrance examination for adult students, non-academic students of economical and technical senior high school and so on. At the level of social service of universities, university and faculties will serve the people who have needs for lifelong learning in the community as well. The fourth term 'Internationalization' will be referred to the improvements for interchange of overseas students, overseas-universities and credits which students have obtained overseas. Fifth term 'Interdisciplinary Relations' will be referred to improvements for the university teaching and research which will contain the reforms of curriculum and research style. And the last term 'Information Oriented' will be used in university as response to Information Oriented which consists of the introduction of computer education, inter-net system and computer system at teaching, research and managerial organization level.

The second perspective is a level of university organization. The characteristics and individuality of university organization has many different dimensions. As the university transfers to post-massification stage, university organization will be more complex and diversified. Universities will be immediately requested the adaptation to the social changes. At the post massification stage, university organizations have to get more

diversified, flexible, open and efficient. For the purpose, it is important how reforms of university organizations will be promoted. So we need to measure a degree of reforms about the Diversification, Flexibility, Openness and Efficiency of university organization. The third perspective is totally about self-evaluation on the Accountability and Credibility of the university.

In particular, it is my intention to report the trend on improvement of Japanese universities in perspectives of university governance and management in the 1990's.

2. Procedure, Objectives and Response Rate of the Survey

The National Survey was organized by the Research Institute for Higher Education at Hiroshima university in 1996. Objective and response rate of the survey is as follow as table-2 and figure-1.

Table-2 Objectives and Response Rates of the Survey

University Sector	Presidents			Deans		
	Number(a)	Response(b)	b/a(%)	Number(a)	Response(b)	b/a(%)
National	98	89	90.8	319	258	80.8
Public	51	39	76.4	69	48	69.5
Private	412	221	53.6	648	341	52.7
Total	561	349	62.2	1034	647	62.5

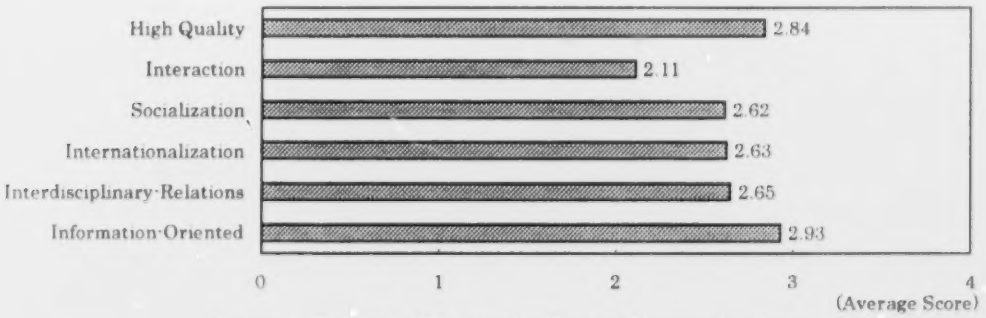


Figure-1 Reform of University Research Organization

3. Self-Evaluation of University Presidents

(1) University Reforms for Social Change

1) Research Organization

At the first time, we understand that the improvement for the upgrading of research conditions and the Information Oriented upgrading of research has taken the highest score: 2.93 and 2.84. Almost university presidents evaluated university reform in this area (High Qualification or Information Oriented) has been accomplished around three-quarters. And there is almost no difference among sectors in the reforms on Information Oriented. It is interesting that the improvement of Internationalization and Disciplinary Relations in national university has been accomplished more than other sectors.

On the other hand, the improvement for Inter-Relationship among universities has been promoted at least in all dimensions of academic reforms by now. Especially in the private universities, their reforms were so late that private universities are isolated among the other universities. In concrete, presidents' evaluation for Consortium or Cooperation of universities on research was the point 1.97 score that was at least among all sectors. We recognized the significant difference on T-test concerning for the improvements of Interaction, Socialization, Internationalization and Information Oriented among sectors of universities.

Table-3 Reform of University Research Organization

University Sector	Area of University Reform of Research Organization					
	High Quality	Inter-action	Social-ization	Internat-ionalization	Inter-disciplinary Relations	Information-Oriented
		＊＊	＊＊	＊＊＊	＊	
National	2.81	2.33	2.90	2.89	2.93	3.03
Public	2.87	1.97	2.84	2.41	2.44	2.84
Private	2.84	2.04	2.48	2.57	2.58	2.90
Average	2.84	2.11	2.62	2.63	2.65	2.93

Scale: 1.almost nothing has been accomplished (score 1); 2. accomplished one-quarter(score 2); 3.accomplished half(score 3); 4. accomplished three-quarter(score 4); 5. almost all accomplished(score 5)

χ^2test ＊0.1 level, ＊＊0.05 level, ＊＊＊0.01 level.

2)Teaching Organization

The academic reforms in 1990' were focus on the improvement for university education, teaching and curriculum more than on the other dimension. In general, the revolution for Information Oriented and High Qualification of university teaching are most

proceeding now. On average point of the presidents' evaluation were 2.97 score on Information Oriented dimension and 2.94 on High Qualification of teaching dimension. And secondary, university reforms concerning the Cooperation between university and community are the following. Among sectors, public university has formed the strongest relationship between university and community because they were supported by local governments. The Evaluation of university presidents on that dimension was the average score 2.83, national university 3.04, public university 3.06, private university 2.72.

The other end of spectrum, the improvement for Interaction, Relationship and Cooperation among universities was much so late that they were evaluated at the least score on all sectors. The average score was 1.97 points that was the lowest in comparative with the other dimensions. We recognized the significant difference on T-test concerning the improvements of Socialization and Information Oriented among the sectors of universities.

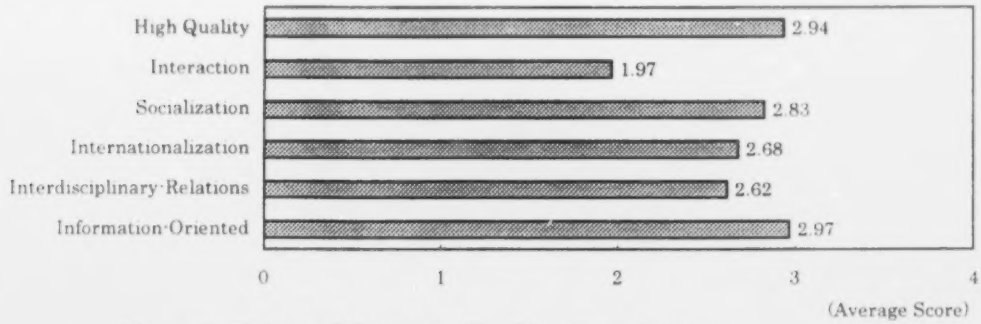


Figure-2 Reform of University Teaching Organization

Table-4 Academic Reforms of Teaching Organization

University Sector	Area of University Reforms of Teaching Organization					
	High Quality	Interaction *	Socialization	Internationalization	Interdisciplinary Relations	Information-Oriented **
National	2.99	2.15	3.04	2.75	2.76	2.94
Public	3.07	1.81	3.06	2.44	2.31	2.91
Private	2.91	1.92	2.72	2.70	2.62	3.00
Average	2.94	1.97	2.83	2.68	2.62	2.97

χ^2 test *0.1 level, **0.05 level

3) Social Service and Managerial Organization

In general, universities have four functions that consist of teaching, research, managerial and social services based on scholarship theory. Finally we try to analyze the

reforms for university managerial and social service organization. The improvements for the Relationship between universities and societal communities which we called Socialization of Universities have strongly been performed by the university and community. The score of Socialization was the highest point, 3.04 on average. In concretely, the score of public universities, national universities and private universities were 3.18, 3.05, 3.03. The score of public universities, 3.18 was the highest point in all improvements of universities. It was understood that public universities might be asked the good partnership with community because they are mainly supported by prefectures or cities. And faculties of public universities are positive to take a role of the social services for community.

But the score of the improvement for Interaction which we called Relationship among universities was 2.03 points. Especially, the improvements for Cooperation among private universities have been proceeded less than other sectors (score 1.97). It is convinced that Japanese university will be requested interactive Cooperation for the social services among universities in 21st centuries.

And the improvements for Information Oriented of university managerial organization were obtained average score 2.75 points. The reforms on Information Oriented of managerial organization were still prompted less than those of Information Oriented of teaching and research organization in universities. Now the Japanese University Council suggests the importance of efficiency for managerial process in university.

Table-5 University Reform of Social Service and Managerial Organization of Universities

University	Social service		Managerial Organization
Sector	Interaction	Socialization	Information-Oriented
National	2.17	3.05	2.71
Public	2.00	3.18	2.78
Private	1.97	3.03	2.78
Average	2.03	3.04	2.75

(2) The Total Improvements for the Organization of Universities

The second perspectives on this survey was focused on the changes of the university organization which were refereed to the terms 'Diversification', 'Flexibility', 'Openness' and 'Efficiency'. There is no difference in the reforms of 'Diversification', 'Flexibility' and 'Openness' for the research and function of university. One of the characteristics of university reforms in Japan is controlled uniformly by the central government even

though Individualization or Identity of universities would be asked. There is no significant difference among all sectors. And there is not much difference on the average score of 'Diversification'(2.57),'Flexibility'(2.47) and 'Openness'(2.56)of research organization. But the highest score is 2.79 in 'Openness' of research organization of national universities among all sectors. In contrast, the lowest score is 2.43 in 'Flexibility' of research organization of national and public universities.

Table-6 University Reform of Organization and Function of University Research

University Sector	Area of Reform			
	Diversification	Flexibility	Openness	Efficiency
National	2.69	2.43	2.79	------
Public	2.50	2.43	2.55	------
Private	2.53	2.51	2.47	------
Average	2.57	2.47	2.56	------

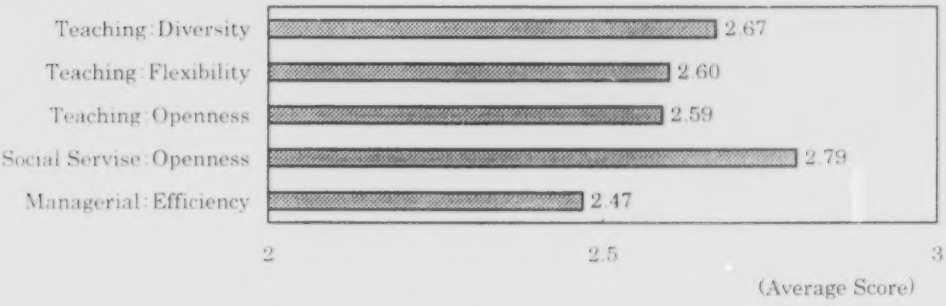


Figure-3 Reform of Teaching, Social Service and Managerial Organization and Function in Universities

On the other hand, how about the trend of university reform of teaching, social service and managerial organization? On the average score, the highest point was 2.79 score of 'Openness' on social service. Especially the reform of social service organization were promoted by the public universities. In 'Openness' of teaching organization reforms the highest score(2.79) was obtained in public sector as well. In the 'Diversification' of university teaching organization, national universities earned the highest score 2.74 in comparative with other sectors. It may suggest that university reforms of 'Diversification' on the teaching organization have been performed in national universities more than other sectors. But there is not so much difference among sectors on the reforms of university organization.

Table-7 University Reform of Teaching, Social Service and Managerial Organization in Universities

University Sector	Teaching				Social Service	Managerial
	Diversification	Flexibility	Openness	Efficiency	Openness	Efficiency
National	2.74	2.59	2.66	-----	2.95	2.46
Public	2.61	2.57	2.79	-----	3.00	2.52
Private	2.66	2.63	2.54	-----	3.71	2.47
Average	2.67	2.60	2.59	-----	2.79	2.47

On the other hand, how about the trend of academic reforms of teaching, social service and managerial organization? On the average score, the highest point was 2.79 of 'Openness' on social service. Especially the reforms of social service organization were promoted by the public universities. In 'Openness' of teaching organization reforms the highest score(2.79) was obtained in public sector as well. In the 'Diversification' of university teaching organization, national universities gained the highest score 2.74 in comparative with other sectors. It may suggest that university reforms of 'Diversification' on the teaching organization have been performed in national universities more than other sectors. But there is not so much difference among sectors on the reforms of university organization.

Table-8 Evaluation of the Identity, Credibility and Accountability of University

Category of University	Identity	Credibility	Accountability
	Presidents (Deans)	Presidents (Deans)	Presidents (Deans)
Old Imperial University	2.67 (3.25)	4.50 (4.38)	3.00 (3.62)
Old University	2.59 (2.58)	3.69 (3.71)	3.38 (3.33)
New University	2.77 (2.73)	3.74 (3.78)	3.41 (3.30)
Public University	2.76 (2.54)	3.40 (3.49)	3.34 (3.28)
Old Private University	2.63 (2.67)	3.82 (3.58)	3.38 (3.30)
Old Technical University	2.58 (2.60)	3.44 (3.61)	3.06 (3.01)
New University	2.88 (2.61)	3.39 (3.38)	3.19 (3.23)
Average	2.76 (2.68)	3.54 (3.66)	3.24 (3.27)

4. Academic Reforms of University Governance and Management System

(1) Advisory System Supporting Presidents and Deans Concerning University Governance and Management

According to marketism, establishment of a responsible administrative structure became very important for Japanese universities, especially national universities. For this purpose, they should establish new independent and autonomous structure. The Japanese University Council recommended that the president should play the central role in efforts to set objectives and make plans (e.g. a future plan or project) for education and research university at large. It is necessary to form an organization for supporting the presidents or deans, for example, the administration meeting should include a vice-president. On the other hand, also the administrative structures of schools as well as specification of dean's responsibilities should be considered in accordance with those of whole university. Style of Japanese university management have been requested to change from bottom up system to top down system to perform efficient decision-making process rather than collegiality which Professor Robert Birnbaum pointed.

We proceed the analysis of questionnaire for the president and dean concerning Figure-1 is the result of answer of 327 presidents and 576 deans. Firstly, 36% of presidents expected establishment of organizations for assistant or advisory support system like a vice-president. And secondary, 24.8% of presidents hope to get strong and wide powers for university management. Totally, we understand that more than half of presidents expected to strengthen a kind of leadership in the relation with university governance. And there are many differences between national and private universities. In the case of national universities, their presidents expected to strengthen their power and authority for university management. On the contrary, new private university's presidents do not expect so much to reform the university governance of presidents and they expect rather to establish a variety of committees. We can assume there would be a difference of governance style among them.

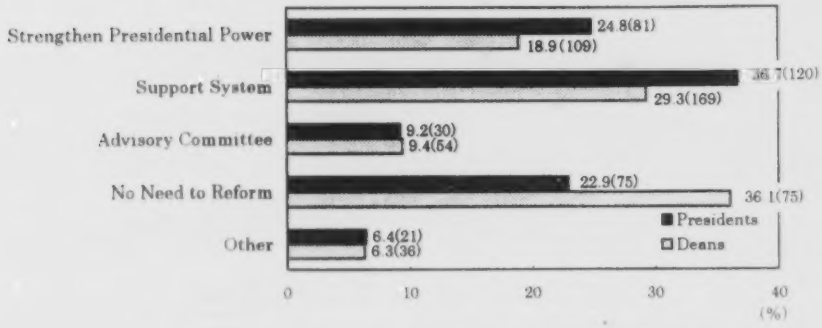


Figure-4 Reform of University Governance

On the other hand, 36.1% of deans did not expect to strengthen their powers for the leadership to faculties and admit the state of faculty management. And 29.3 % of deans expect to establish should a kind of committees for faculty management. In perspectives of the academic fields, 40% of deans of Humanity and Social Sciences do not hope to reform faculty management. In contrast, 38% of deans of Natural Sciences expect to establish a supporting system for faculty management like a kind of committee. In the case of Humanity and Social sciences, German style of university autonomy influences on the faculties of these disciplinary fields.

Then, we ask a question of the establishment or introduction on the vice-president system supporting president to each universities. As shown in Figure-5, we understand to be two peaks on the vice-president system inauguration year.

One peak is in the 1970's. Other peak is in the 1990's. In the 1990's the number of vice-president system increased extremely. When several new national universities like University of Tsukuba, New medical Universities and Universities of Teacher Training so on were established in the 1970's, they introduced new governance and autonomy style of university. New vice-president system has been introduced to their universities when they were founded. But the privilege of faculty autonomy of new national universities like personnel affairs has been reduced. But this system has not diffused to other universities in 1980's. In February 1991 the University Council submitted a report concerning the relaxing of provisions of the Standards for Establishment of Universities. On the basis of this report the Ministry of Education, Science and Culture radically streamlined the official requirements for the establishment of a university (the Standards for the Establishment of Universities) in June 1991. After that, Japanese higher education has been requested the drastic revolution. In the 1990's main traditional national research university at large outside of new national universities has introduced a vice-president system.

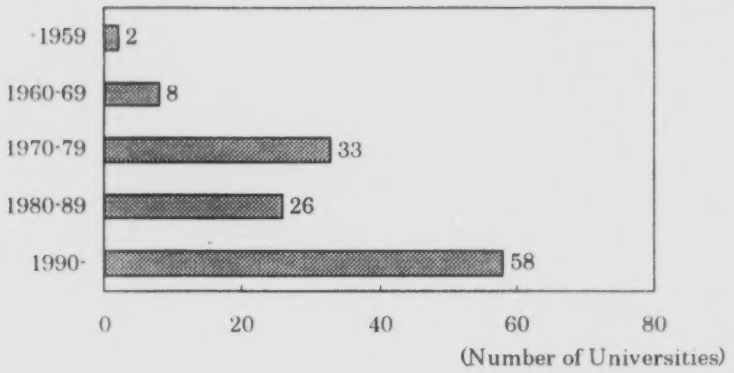


Figure-5 Introduction of Vice Presidential Systems

A supporting system in which the presidents and deans will be helped by the administrative organization on university management has been drastically introduced for the same reason: Figure-7. The large and traditional research universities of national sector have established these supporting system to the level of 71.4% of all. On the contrary, around 40% of old private and old technical universities have established them after the 1960's:Figure-8. In particular, many universities (257 universities) have founded them after 1991:Figure-9. It suggests that member' number of supporting system of presidents scatter from one to 17 as shown in Figure-10. Hokkaido University, University of Tokyo, Chiba University, Advanced Institute of Science and Technology, Hokuriku, Osaka University adopted both vice-president system and advisory system supporting the president. Membership of advisory system constitutes full professors in general but several universities include young lecturers and assistant professors.

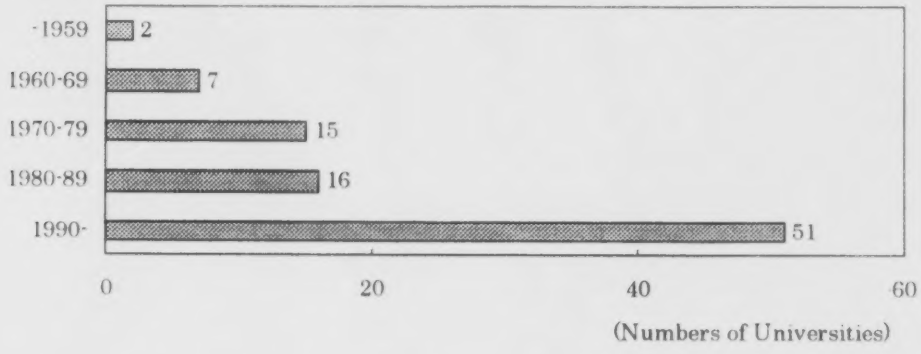
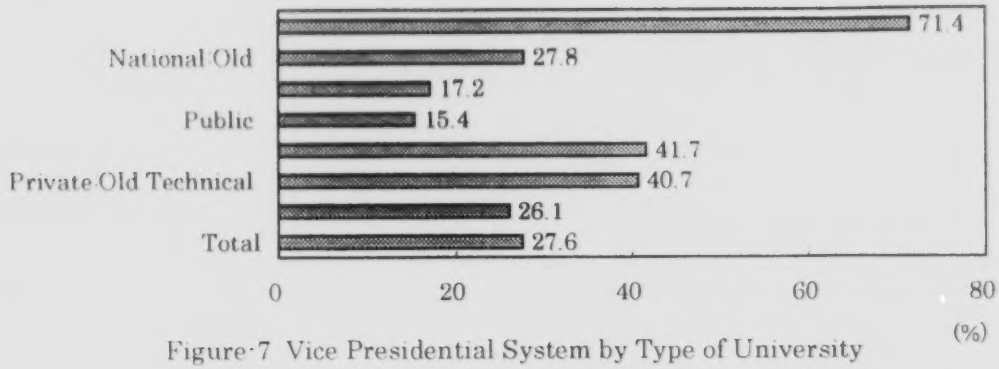
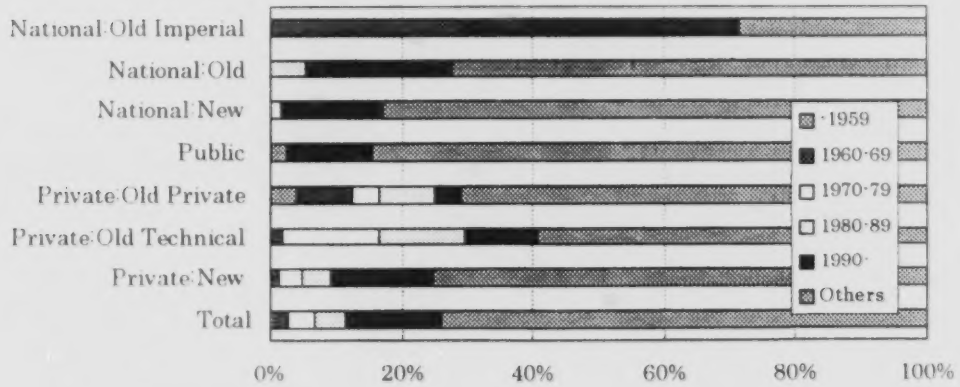


Figure-6 Introduction of Support System for Presidents by Type of University



Figure·7 Vice Presidential System by Type of University

In general speaking, university management may need a kind of standing committee which have strong and effective power in order to change drastically organization and function. 22 national universities answered they have powerful committees which influence substantially university management.



Figure·8 Spport System for Presidents by Type of University

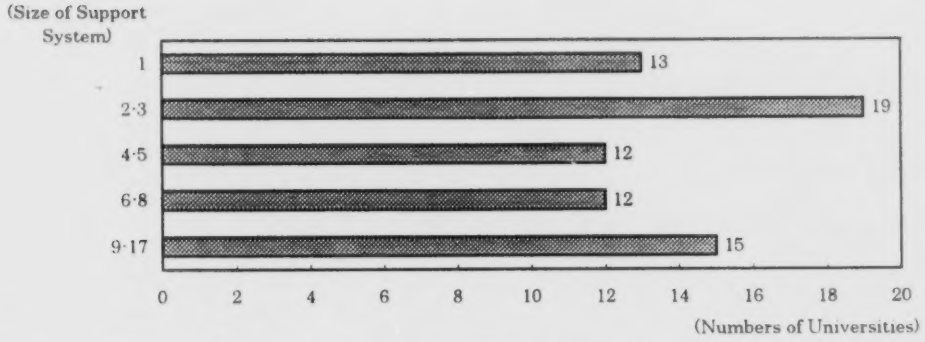


Figure-9 Numbers of Universities with Presidential Support Systems

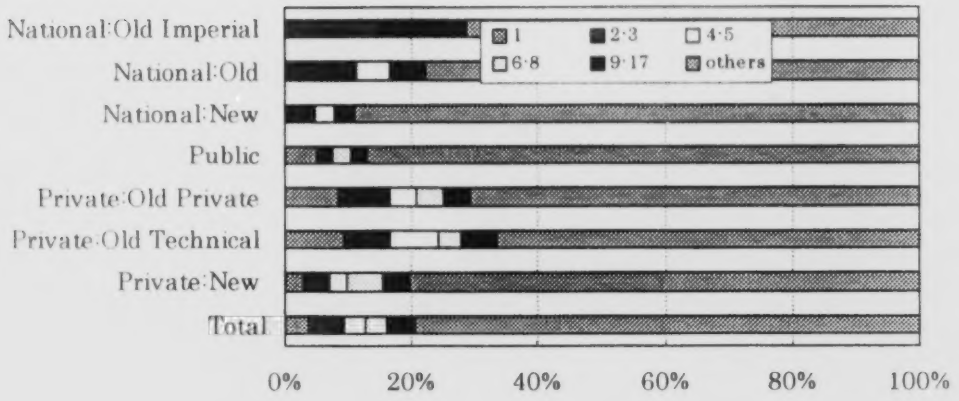


Figure-10 Universities with Presidential Support Systems by Type of University

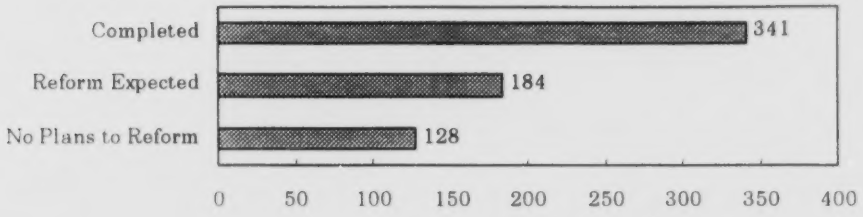


Figure-11 Reform of Faculty Meetings : Number of Faculty

Furthermore, 21 national universities and other public or private universities answered to our questionnaire that they should have special and ad hoc committees which have strong and wide power to proceed positively the academic reforms. Because of titles of ad hoc committees, 'Ad Hoc Committee of Future Project', 'Special Committee of Self-Evaluation', 'University Education Committee', 'Curriculum Committee' or 'Special Committee of Liberal Arts and Science', we understood that Japanese academic reforms were focused mainly on the quality assurance of university education. Additionally, 15 national universities have also been setting up 'Committee of Academic Reforms'. We should interpret that these Committees had been established in order to promote their academic reforms in perspectives of the effective management of Faculty Meeting.

(2) Improvements of Senate and Faculty Meeting

It is necessary to specify the basic functions of a Senate and a Faculty Meeting respectively. A Senate is responsible for deliberating important administrative matters of university including drawing up basic principles for curriculum formation and forming curriculum for whole university's education. While a Faculty Meeting is responsible for discussing important matters regarding research and education in each school including personnel affairs, allocation of budget, approval of credits and forming curriculum of the school. In general, Japanese faculty has kept much stronger power than a Senate by German impact since Meiji era. It is important to distinguish presidents or deans and a Senate or Faculty Meeting. The former are executive organs and the latter are deliberative organs.

Therefore, the improvement of Senate had never been promoted immediately after an amendment of the official requirements for the establishment of the university (the Standards for the Establishment of Universities) and the related laws in 1991. We asked presidents the improvement of a Senate about rules, membership and matters to discuss in Senate. But many universities have not reformed them since 1996 because of the

restriction of 'School Education Act' and the related law.

In 1998 the Japanese University Council recommended that Japanese university management should be changed Bottom- Up style to Top- Down style. So, Japanese Ministry of Education, Science and Culture amended the provisions on roles of presidents, deans and functions of a Senate according to the recommendation of the Council. Therefore, it is easy relatively to reform on the roles of presidents, dean and /or functions of Senate after 1999.

On the other hand, the improvement of Faculty Meeting for effective management has not also proceeded. As I have already explained, Japanese university autonomy means the autonomy of school with which faculty affiliated. While faculty autonomy has been supported by the collegiality over a long period of time, it is difficult to change the managerial style. By 1996, only 128 faculties of 654 (around 20%) promoted the improvement for the efficiency and effectiveness of school management. And 184 faculties (around 28%) are proceeding now the improvement for something. In contrast, 342 faculties (around 52%) did not promoted the improvement of school management at all.

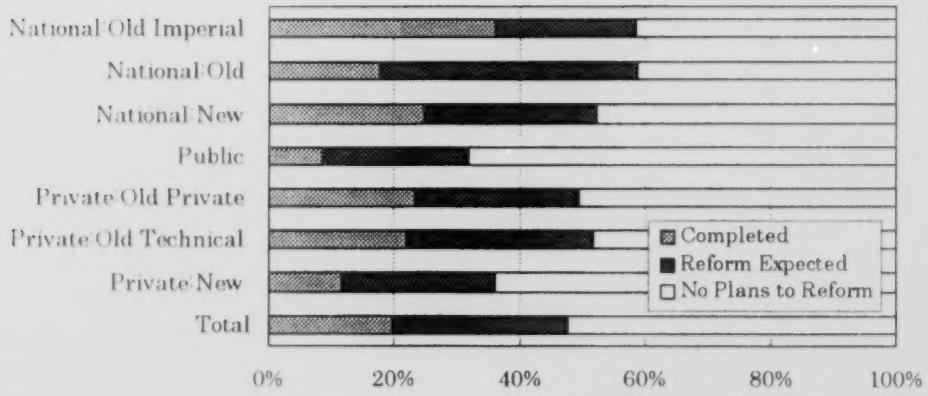


Figure-12 Improvement to Faculty Meetings by Type of University

On the other side, a variety of improvement of Faculty Meeting to expedite the proceedings are promoting toward the efficiency for the process of school autonomy up to now (1999) according to the regulations now in force of 'School Education Act'. That is as follows:

1) Improvement on the leadership of deans and establishment of advisory system.
2) Setting up of a variety of committees regarding business meeting, research

committee and advisory committee, so on.

3) An advance notice by reports or prior consultation by each committee.
4) Introduction of conference of representatives or department chairpersons.
5) Selection and arrangement of the proceedings.
6) Introduction of a proposal in writing.
7) Integration of meeting for graduate and undergraduate school.
8) Utilization of e-mail and other information technology system.

Anyway, it may be necessary to improve the way of faculty meeting and power of faculty authorized to form a curriculum and to proceed the personnel affairs like new national universities before too long.

(3) Academic Reforms for Listening to Public Opinion and Active Offering University Information

After in the 1990's, Japanese national, public and private universities have been requested the Accountability from the public and central or local governments. Universities have to give an account of their responsibility as a result that they performed on education and research. In contrast, it is very difficult for the public and external peoples in community to understand the inside of universities themselves without university information. Therefore the University Council recommended that universities should establish the university administrative council in order to open the door to the society.

As Figure-13 shows, Permanent Committees were seldom established in private universities in comparison with national universities because private universities had already established the Board of Trustees to have a voice in the university management so far. New national universities founded in the 1970's began to establish a kind of the university administrative council for listening public opinions (Sanyokai) like a new vice-president system in the 1970's. Old and traditional national universities began to establish this kind of councils in the late of the 1990's. The titles of these councils are as follows: Meeting of External Knowledgeable People (Yusikisha-Kondankai), Industrial or Academic Adviser Meeting at Advanced Institute of Science and Technology, Hokuriku is an original and unique organization regarding cooperation between university and firms.

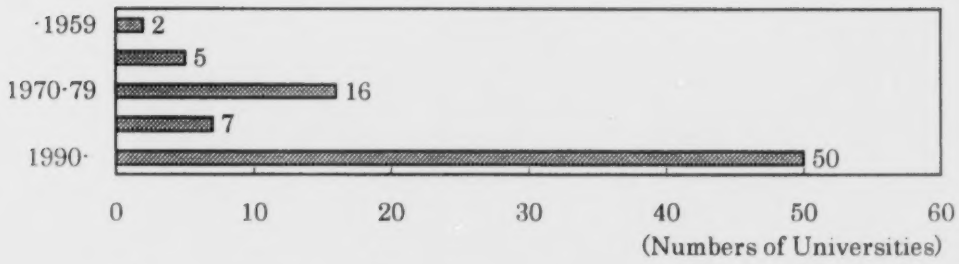


Figure-13 Formation of Committees to Reflect External Public Opinion

Anyway, Professor C. Kerr, U.Teichler and W. Cummings prospect that universities in the developed countries will be put pressure on Top-Down style in university management in the early of 21st century. And the University Council proposed that national universities should introduce a new managerial system with strong power like University Management Meeting (Daigaku-Unei -Kaigi).We are afraid that there may be conflict among the Ministry of Education, Science and Culture, university presidents and faculty how to manage university.

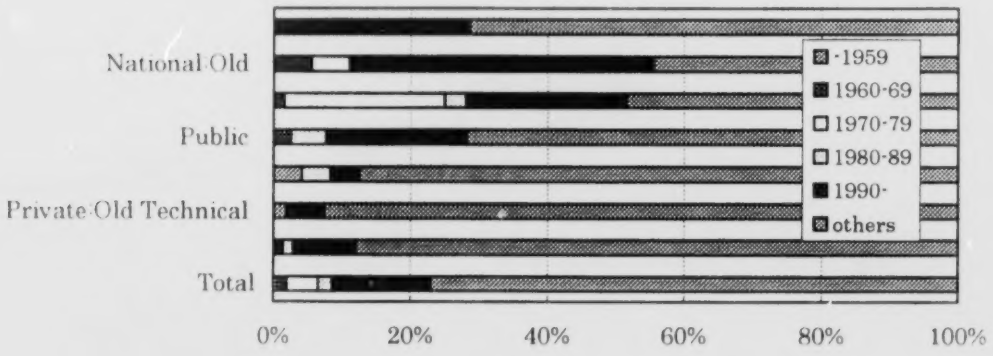


Figure-14 Formation of Committees to Reflect External Public Opinion by Type of University

II. Considering in Perspectives of Faculty Members

On the other hand, How do faculty members think about university governance and management? We had two topics to this question as follows:

a) Which kind of roles of Presidency do faculty members expect on the university governance?

b) Which kind of roles of Senate or Meeting of Deans do they expect on the management of universities?

We have done a case study by questionnaire survey of Hiroshima University faculty members. We could get the responses of 1044 teachers of 1650 faculty members in all (response rate:63.3%).

Firstly, Which kind of roles of president do they expect? We distinguish four types on president's roles : leader of academic reform, collegial leader, administrative leader or symbolic leader : Figure-15. Japanese faculty members have mostly chosen the role of president as reform leader or collegial leader (37.3% 35.7%). In contrast, Faculty members who chose the role of president as administrative leader are relatively low. On the term of academic reform, they have a tendency to prefer president who promotes academic reform positively.

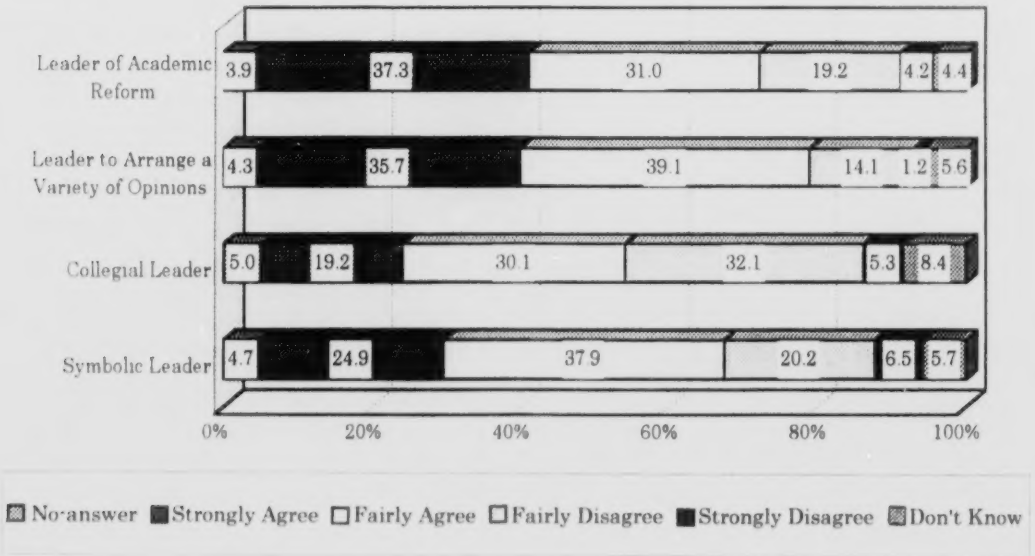


Figure-15 Role Expectation for University Presidents

Furthermore, we asked them how they think of the function of a Senate as Figure-16 shows. Which position of a Senate on university management all do they totally place advisory body of president or the supreme decision-making body? According to the Provisional Act of a Senate in the 1950's, a Senate had been placed as advisory body of university president. But it is said that a Senate is the supreme deliberative body in general. Therefore, there is a controversy whether a Senate is advisory or deliberative body. So we asked teachers of Hiroshima University whether a Senate is advisory body or deliberative body. 40.3% of faculty members strongly agreed that a Senate should take a role of the supreme and final decision-making body of university autonomy. In contrast, faculty members who strongly agreed to the item on the function of a Senate as advisory body are limited to 23.5%.

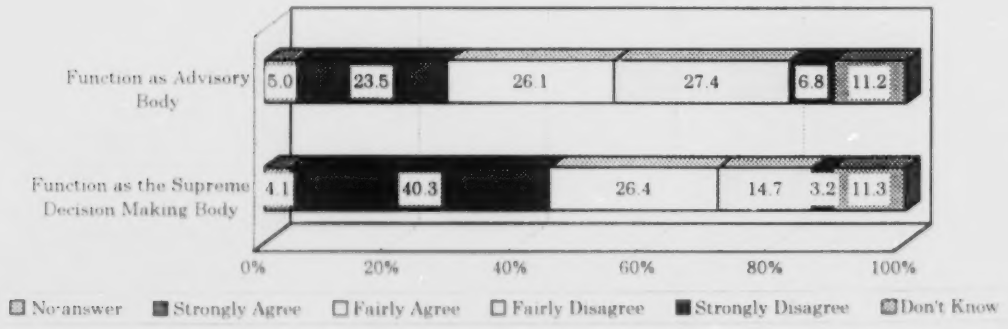


Figure-16 Function of a University Senate

Moreover, as shown in Figure-17, 45.7% of faculty expected Senate members should contribute to university management in perspectives of whole university rather than the representative of each faculty. On the other side, 46.6% of faculty members strongly or fairly agreed to the latter. By both data, we could understand for faculty members to support the function of a Senate as the supreme decision-making body in perspective of whole university management.

Nevertheless, many faculty members have a great expectation for university management of bottom up style rather than top down one. Only 8.1 % of faculty members strongly agreed to the university management of the latter. And the former is supported by university teachers in the field of humanity and social sciences more than natural sciences in perspective of academic fields. From the view point of generations, old age agreed to university management of top down style because they have a variety of experience of

university management. I understand there is a big conflict concerning university management.

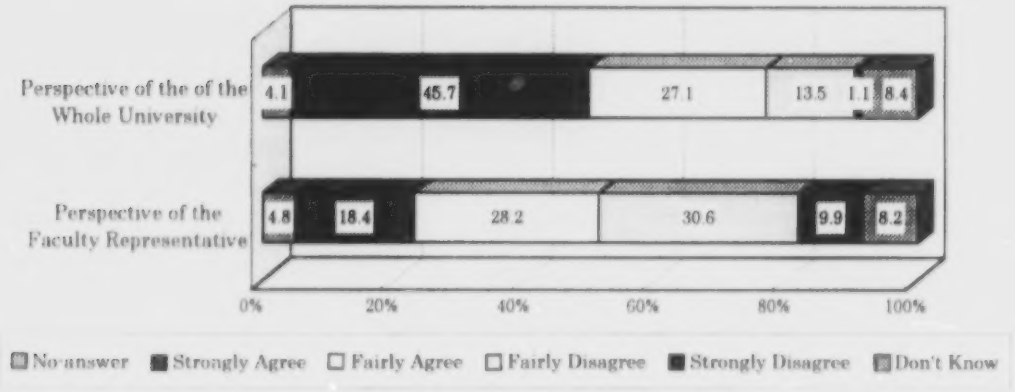


Figure-17 Role Expectation of Senate Members

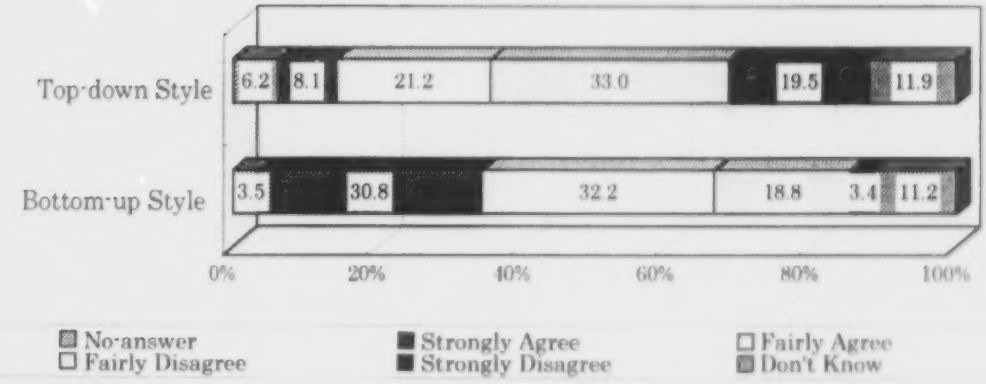


Figure-18 Style of University Governance

• Japanese national universities have an informal advisory or assisting system of presidents/ a Senate (Meeting of Deans: Bukyokuchou-Rennrakukaigi). Because this meeting has very ambiguous character and status on university management, it has never been institutionalized as a formal organization. But it has stronger power than any other organizations committees like a Senate. As Figure-19 shows, around 30% of faculty members chose a item of 'Don't Know'. But Hiroshima University approved this meeting as

formal organization in 1999. This tells us, it put Japanese academics in doubt which is better Top Down Style of university management or Bottom Up Style.

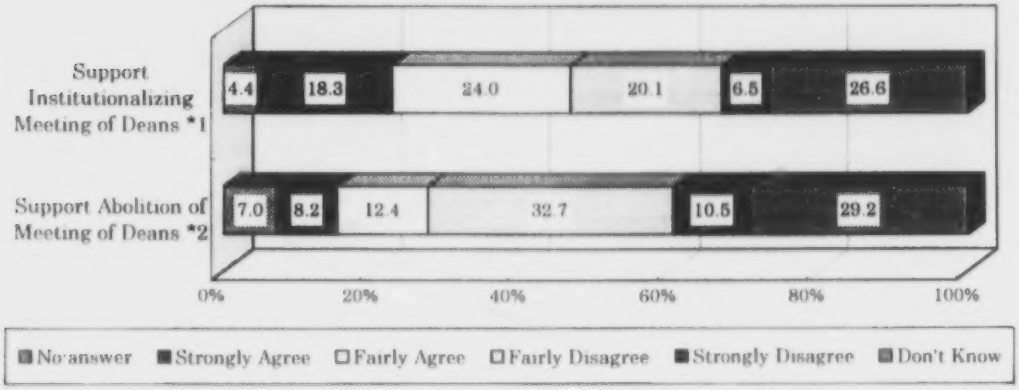


Figure-19 Meeting of Deans

*1) To Institutionalize meeting of dean as advisory body of president and an arrangement organization of each faculty

*2) To abolish meeting of dean because presidency and senate do not fulfill their functions

As stated above, it is our hope to discuss the principle of 'Shared Governance', in particular, the efficient allocation of decision-making power among top management of university presidents, deans and faculty autonomy. In accordance with the global capitalism or marketism, Japanese Government and Ministry of Education, Science and Culture have already expressed to change the sectorial type of Japanese national universities to the Independent Administrative Corporation in 1999. I have suggested some of managerial tasks of Japanese higher education at the early of 21st century. We can say it is never a straight choice between alternatives. How can we solve these difficult problems?

2. Present Situation of the University Reform

Tomomi Amano
Hiroshima University

In Japan, the number of private universities is over 400, which represents over 70 per cent of all universities. Especially, as Katsuhiro Arai pointed out in the former Japanese report (Arai, 1997), the number of new private universities which do not have their origins as higher educational institutions before World War II is large. So those new universities seem to have been responsive to student demand (though still 60% of students are enrolled in the old private universities because the size of each new universities is small).

But the demand for university education is not only for quantitative expansion. Today, universities are expected to reform and diversify according to student demand. Table 2-1 data gained from survey of deans shows the progress of university reforms in the areas of entrance examination, life-long learning programmes, credit, curriculum changes in the upper division, and improvement of instruction. Most of the reform items are based on the recommendations of the University Council, especially in 1991. We can find which reforms are progressing and which types of university are more responsive as follow.

(1) As a whole, the degree of reform progress differs largely by items: Diversification of entrance examination was not progressed very much, except for admission on recommendation; life-long learning is implemented mainly by open lectures; basically credit is granted only for study in the same or selected universities; faculty development, remedial education, and class evaluation by students are not implemented in many faculties. On the other hand, many schools publish syllabuses, change curriculum, and implement admission on recommendation.

(2) Focusing on the differences among sectors, more private universities have implemented diverse selections than national-public universities except for skipping up. Private universities are also progressive in the curriculum changes. But national universities are not necessarily conservative institutions. In the areas of life-long learning and instructional improvement that is more internal area of university,

national university reforms were progressed more than in private and public universities. Public universities which local public bodies established and fund are not so responsive.

(3) Comparing between old and new national universities, the latter have progressed more with respect to entrance examination reforms, and have also implemented recurrent education programs, and grant credits for study at other institutions, curriculum changes, and remedial education. New national universities are more responsive institutions than old ones which seem to be more conservative.

(4) Focusing on private universities, new institutions are more progressive than old ones regarding the reform of entrant selection except for elitist entrance. But in the area of granting credits and curriculum changes, old universities implement reforms more actively. About life-long learning programs and improvement of instructions, there is no significant difference.

In sum, new private universities seem to be responsive mainly to access demands, and new national universities and old private universities seem to be more responsive to the other demands, but the progress of those reforms regarding internal process is very slow. A more precise analysis based on the framework is done at the next chapter. But there are some points to consider. For example, does the University Council, the members of which are selected by the Minister of Education, fairly reflect social demands? Does Table 2-1 only show how universities are responsive to the demands of the ministry? Should university reforms be implemented in any other areas? Or, should universities be responsive to the social demands? To this last question, there is no single one answer. One private university president answered in our questionnaire, "Surveys of students at the high school and at my university tell us that they require practical education to get national licenses. I will implement reforms in that way". On the other hand, another private university president answered, "Emphasizing practical education is only to be responsive to the social demands, but no true university reform, because higher education should be based on human education".

A conflict between social demands and university idea leads to the problem of who should have a right to decide. Then we need to consider the problem of governance and management.

Table2-1. Progress of university reforms

I entrance examination	a. admission on recommendation
	b. for those who had lived in foreign countries
	c. for adult students
	d. skipping up
	e. for students coming from other institutions
	f. for those in vocational courses
	g. for diverse talents
II life-long learning Program	a. open lectures
	b. recurrent education program
	c. refresh education program
	d. establishment of a life-long learning center
III Credit	a. for study at other faculties
	b. for study at other selected universities with which mutual agreement exits
	c. for study at other educational institutions
	d. for study at the university of the air
	e. for experience in the work force
IV curriculum changes in the upper division	a. composition of required/optional subjects
	b. names of subjects
	c. classification of course subjects
	d. credit calculation methods
V improvement of Instruction	a. formulation and publication of syllabuses
	b. semester system
	c. class evaluation by students
	d. remedial education
	e. development of junior faculty

		(1)		(2)			(3) national		(4) private	
		all		national	public	private	old	new	old	new
I	a.	70.8	④	61.0	58.3	79.7	44.9	84.9	72.9	87.4
	b.	56.1		47.7	41.7	64.2				
	c.	40.5		28.0	39.6	49.9	22.8	35.8	45.7	54.5
	d.	30.0		42.0	27.1	21.4			25.0	17.4
	e.	25.5					22.8	32.1	20.2	32.9
	f.	19.3					17.7	31.1		
	g.	18.0		3.4	4.2	30.7			26.1	35.9
II	a.	54.7		65.9	52.1	46.8				
	b.	13.2					10.8	20.8		
	c.	10.8		17.8	0.0	7.0				
	d.	5.4		2.3	10.4	7.0				
III	a.	51.6								
	b.	42.6		45.8	29.2	42.0	41.1	52.8	46.8	36.5
	c.	25.9					23.4	33.0		
	d.	9.7								
	e.	6.3							10.1	4.8
IV	a.	82.3	②						89.9	79.6
	b.	72.0	③	69.3	62.5	75.2	65.2	75.5	79.3	70.7
	c.	56.2		51.1	41.7	62.0			69.1	53.9
	d.	53.2					47.5	58.5		
V	a.	85.9	①	90.0	68.8	85.1				
	b.	42.9		50.6	47.8	36.7				
	c.	33.6		37.2	14.6	33.6				
	d.	9.8		11.5	4.2	9.2	9.0	15.2		
	e.	5.4		3.9	0.0	7.3				
(N)		667		264	48	355	158	106	188	167

% of already implemented or established

Source: Survey on Academic Reforms to deans

References

Arai, Katsuhiro, 1997 "Post Taishuka dankai to Shinsetsu Shiritsu Daigaku (Post Massification Stage and Newly Established Private Universities)" in Akira Arimoto, ed., Cross-National Study on Post-Massification Academic Organizational Development (in Japanese). Review in Higher Education, No. 46, (October 1997).

3. Management of the University in the 21st Century: A Brief Report as the Case of National Universities

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Hiroshima University

Higher education in Japan is now at a turning point because of several factors such as globalization, the IT revolution, and the decrease in the number of children. Especially in the national university sector, there is a strong need for the improvement of research and education in an independent management and self-responsible system. In 1999 there are 622 universities in Japan and the number of national universities is 99. National universities have played an important role in various areas such as academic research, professional training, and equal opportunity in higher education. However these functions do not seem to be fully and effectively attained. The purpose of this paper is to introduce recent arguments about the future direction of the management of national universities.

In 1998 the University Council report entitled "A vision for universities in the 21st century and reform measures: To be distinctive universities in a competitive environment" was published. This report consists of two chapters: the society at the beginning of the 21st century and a vision for universities, and reform measures for universities' individualization. The first chapter presents four basic philosophies about university reform: (i) qualitative enhancement of education and research with the aim of cultivating students' ability to pursue one's own ends, (ii) more flexible education and research systems to secure universities' autonomy, (iii) improvement of the administrative structure to facilitate responsible decision-making and implementation, and (iv) individualization of universities and continuous improvement of education and research by establishing a plural evaluation system. The second chapter suggests concrete reform measures in accordance with the four basic philosophies. From an administrative point of view, this report suggests three important points.

The first is the reinforcement of the president' leadership. Traditionally in Japan a faculty meeting (Kyojukai) has an important role in decision-making about university affairs. However this report regards it a closed, inefficient, and rather cumbersome system. Two functions about decision-making are advocated. The first is an executive organ that consists of the president and the deans. It makes final decisions and takes responsibility for their implementation. The second is a

deliberative organ that consists of the senate (Hyogikai) and faculty meetings. Its only function is to discuss basic principles of university affairs. Further more this report advocates the establishment of a university administrative council 'Daigaku Unei Kyogikai'. The purpose of this council is to assist the president and to give advice and make recommendation when necessary.

The second is the introduction of an external evaluation system. Members of this external evaluation organization are selected from associations of universities, academic societies, and accreditation bodies. Japanese universities have been positively practicing self-monitoring and self-evaluation since 1990's. But government and society regard these practices as perfunctory and not suitable for bringing about fruitful university reform. Therefore in addition to improvement of self-monitoring and self-evaluation, it is recommended for national universities to be obliged to accept an external evaluation. The result of which is to be linked with the allocation of funding.

The third point refers to the national universities' operational system for the first time. We call this direction independent administrative corporation or 'Dokuritsu Gyosei Hojin'. This means the idea that the operational sector is separated from the planning sector with the objective increasing the efficiency of the administrative organ. Concretely speaking, it is to keep basic principles such as the personnel system of government officials and allotment of national resources, but on the other hand, to develop flexibility in personnel affairs, accounting and financial affairs. Because the independent administrative corporation is funded by the national budget, it is not a private organ and it is not required for the operation to generate profits.

The argument of reforming the operational system in national universities derives from the administrative reform that purpose is to reduce 25% of government officials by 2010. The current total numbers of government officials are 1,150,000 and there are 125,000 staff members at the national university sector. The detailed direction about independent administrative corporations will be elaborated in the near future. Some features that relate to university administration are mentioned below.

The minister responsible for Ministry of Education, Culture, Sports, Science and Technology (Monbukagakusho) gives university presidents more freedom than now and enables them to deal with university affairs more efficiently. However because corporatized universities are part of the national administration, the minister cannot renounce his responsibility. Therefore the minister frames a plan with a 5 years' intermediate target, gives it to universities and then evaluates the performance of universities ex post. Though national resources are provided as the total or a part of the universities' financial resources, each university can decide freely about the way to

use them. However the result of the evaluation carried out by the minister influences the distribution of resources.

There may be some merits in that national universities will be able to practice some reforms they cannot do so far. However at this stage, some national universities have misgivings about the idea of the new independent administrative structure because they think this system may restrict their autonomy. Firstly they regard the authority of the ministry as too strong. For examples, the minister has the right to appoint the president, to draw up the intermediate plan, authorize the intermediate target set forth by the universities, and influence the allotment of the budget based on an evaluation conducted by the ministry. Secondly they have objections regarding the time frame of the intermediate plan because it is too short. Thirdly they fear that some disciplines which are not suitable for realizing short-term results will decline and smaller universities and universities located in rural areas will face crises.

These arguments are based on the general idea of a more independent administrative structure. At present both Monbukagakusho and national universities are proposing a different system of university governance and control. In particular this concerns the assurance of universities' independence in planning, evaluation by peers and professionals rather than by government officials, the recognition of universities' autonomy in personnel affairs, and the autonomy with respect to the administration of the budget. Though we cannot grasp a clear direction at this stage, corporatization of national universities will be inevitable. However, it may be difficult for society to accept that national universities receive national funding but deny any intervention by the state regarding their organization, personnel affairs, and administration. The more freedom they request, the more they will be exposed to pressures of privatization. Therefore they seek a room for compromise that will secure their autonomy and stable status.

The way and the responsible system in the decision-making at national universities are also reconsidered and defined clearly. In 1999, the government amended the School Education Law (Gakko Kyoiku Ho) and the National University Establishment Law (Kokuritsu Gakko Setti Ho), based on recommendations in the University Council report in 1998. The revised law became effective in 2000. The aim of this amendment is to establish more a responsible operational system in national universities and to overcome sectionalism of faculty (Gakubu) that has been very strong. The School Education Law regulates the responsibility of the dean (Gakubu Cho) for the first time. So far there had been no regulation besides president and vice president.

The National University Establishment Law regulates three points. The first is the establishment of the administration meeting called 'Unei Shimon Kaigi'. Unei Shimon Kaigi consists of a few members who do not belong to the university. It has a role to deliberate important university affairs such as basic planning, evaluation of education and research, and basic operations and to give advice or recommendations to the president. This system has often the effect that opinions of the minister and business circles are reflected directly in the planning and evaluation of universities.

Next is the role of senate. The number of issues it can deliberate increases in comparison with before. They include basic planning of the university, establishment of school regulations, principles about the budget planning, organizational principles, student capacity, faculty personnel, curriculum, student affairs (Kosei Hodo), student matriculation, graduation, and degrees, and furthermore evaluation and operation. But the senate does not have the right to make decisions in these matters. The only issues the senate can make decisions about are the election of the president and the personnel of the faculties. Conventionally, all faculty members elect the president based on a general voting system, whereas the senate only confirms the result.

The third novelty is the function of the faculty meeting. In conclusion, its authority has greatly decreased. The numbers of issues it can deliberate are only three: organization of curriculum, student matriculation, graduation, and degrees, and other educational and research issues. Like the senate it does not have the right to make decisions. At present the faculty meeting takes the responsibility for the recruitment of new faculty members. However, deans have the right to express their opinion about the candidate, which means that their role in personnel policies will be much stronger in the future.

Two main changes emerge from this series of amendments. One is the provision that has been noncommittal until now, the other is a detailed regulation of the operational system. However, there is still no concrete regulation concerning the authority of the president, the method of evaluation, and the allocation of the budget. In that sense there are still many problems left in order to improve the administration of national universities. But it is no doubt that corporatization of national universities will be introduced, decision-making organs will shift from faculty meeting to the president, and the diversity among national universities will expand further.

One major difficulty will be the process of reaching agreements about the purpose or the direction of each university between universities and the government, and between presidents and faculty members. When planning function and executive function are divided clearly, this system will exist not only between universities and

the government but also within universities. These dual structures will cause conflict and friction. Though these drastic reforms will be accompanied by large strain, there is no clear vision what universities will obtain or lose.

At present there are still two opposite interpretations of the independent administrative corporation in national university sector. On the one hand, this system is considered to be a market-oriented mechanism intended to lead national universities in the direction of privatization. On the other hand, it is considered to be an evaluation-based mechanism and therefore what is important for universities is not making a profit but carrying out their missions successfully.

However in both cases the missions of national universities and the way of managing them cannot be defined clearly. Therefore whatever conclusion will be drawn in the future, national universities have to cope with many issues, in particular the following two: Firstly determining the concrete and strategic missions of each university, not just abstract and grand ideas such as research, education and services. These missions have to be clearly different from those of private and public universities because they are operated by the national budget. Secondly, there is an urgent need for training professionals about university management. Neither faculty members nor staffs have so far been specialists about university management. Professional education at graduate school for university management has just started in Japan. At any rate, we cannot take our eyes off the situation of national universities for a few years, as we cannot yet grasp a definite blueprint concerning the management of the national universities in the 21st century.

Note:

(1) About University Council report in 1998, refer to the following URL: http://www.monbu.go.jp/news-en/00000060/

(2) There are few resources written in English about the reform of Japanese national university's operational system. As resources written in Japanese, the following URL is convenient to get information:
http://ha4.seikyou.ne.jp/home/kinkyo/Alink_daigakushin.htm
http://ha2.seikyou.ne.jp/home/jsan/agenzia_autonoma.html

4. The Role of Universities in Relation with Changing National Economy from the Case in Japan

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University of Tsukuba

I. Introduction

Due to the rapid development of science and technology, each country has become aware of the importance of them for the national economy and its international competitiveness. The end of the Cold War has made each government regard science and technology as the engine for economic development and social welfare more than as the tool for military purposes. The emergence of information technology and biotechnology has changed the role of basic research that has used to be far from commercial application. The relationship of university with government and industry become stronger and universities are expected to advance our frontiers of knowledge that is important for our society.

An OECD's report says, "With the increasing emphasis in recent years on national economic well-being and international competitiveness in OECD countries, the production, application and use of new knowledge have taken on major importance. As key sites both for research into new fields and for the training of future researchers and skilled personnel, universities and other higher education institutions have found themselves inevitably drawn into the modern national policy arena."(OECD, 1998) This means that universities are expected to play the key role for national economy through their advanced research and their education for future skilled people.

Japan has nearly a hundred and twenty years' experience in training scientists and engineers since modernization of its higher education system in the late 19th century. Here I would like to introduce Japan's development of higher education system and its governance. Also I would like to mention how it has related to Japan's economic growth. Finally mentioned will be recent change of the system of governance that is expected to be reformed in accordance with the change of economic situation.

II. Specific Features of Japanese Higher Education System

With over 1,200 universities and junior colleges and 3 million students enrolled, Japanese higher education system is the largest in the developed countries following to the United States. About half of Japanese youth pass trough this massive system. As showed in Figure 1, about 40 percent of undergraduates study the social sciences, such as law and economics, a much higher proportion than in the U.S., United Kingdom, Germany and France. This top academic priority of Japanese higher education is followed by engineering, also high in the developed countries relative to the national sciences. Engineering is the most popular study area in master's programs, while medical and health-care related fields lead the doctoral programs (see Figure 2).

Figure 1 Size of Japanese Higher Education May 2000

	Total	National Institutions	Public Inst.	Private Inst.
(Enrollment)				
Undergraduate	2,471,756	471,632	93,063	1,907,061
Master's Programs	142,830	84,129	6,493	52,208
Doctoral Programs	62,488	44,495	3,226	14,767
Junior Colleges	318,260	7,410	20,175	290,675
Colleges of Technology (4th and 5th year)	21,009	18,417	1,652	940
(Number of Schools)				
Universities	649	99	72	478
Junior Colleges	572	20	55	497
Colleges of Technology	62	54	5	3

Source: The Education Ministry's School Basic Survey

Figure 2 Breakdown of University Students May 2000

	Total	Undergraduate	Master's Programs	Doctoral Programs
Total	2,677,074	2,471,756	142,830	62,488
Humanities	430,086	410,980	12,234	6,872
Social Sciences	1,013,268	985,616	21,457	6,195
Science	107,096	87,901	12,785	6,410
Engineering	538,057	467,163	59,076	11,818
Medical/Dentistry/ Pharmacology	170,178	143,637	6,492	20,049
Education	150,002	137,615	10,842	1,545
Others	268,389	238,846	19,944	9,599

Source: The Education Ministry's School Basic Survey

Despite the large undergraduate population, relatively few go on to graduate schools. The Education Ministry (Monbusho in Japanese) survey found a ratio of only about 8 percent graduate students to Japanese undergraduate population, compared to 13 percent in the U.K. and U.S. and 18 percent in France. The number of Japanese graduate Students per 1,000 people in the general population is less than half of those other countries. Despite broad enrollment in higher education, Japan has a very thin tier of intellectual leaders, and this problem is raising awareness among those involved in education, including those in government. Expanding graduate programs has been a major policy priority for the Education Ministry for several decades.

In contrast to Europe, where government-run, often tuition-free schools form the core of higher education systems, private universities are far more important here in Japan. Private schools enroll even more students than in the U.S., where they are also very prominent.

During the rapid expansion of higher education in the 1960s, private universities admitted ever-increasing numbers of people seeking to learn, and worked to fulfill their varied needs. People in Japan and the rest of East Asia are generally considered education enthusiasts, and the huge presence of the private sector in higher education here may endorse that point. About 75 percent of institutes of higher learning are private, serving a similar proportion of Japanese undergraduates. That percentage is even higher among junior colleges.

From the view point of academic research, national universities are outperforming private universities. While the private schools enroll far more undergraduates than the national schools, that reverses for the doctoral students. An important difference separates Japan and the U.S. in the area of funding for research. While more than half of the top 20 receivers of U.S. federal grants are private institutions, Keio University is the only non-public institution in the top 20 receivers of science research grants (Kakenhi in Japanese) from the Japanese Education Ministry. In the prewar period, the role of the Japanese national universities was central to the research and personnel development needed by the government, and national budgets have furnished support ever since.

Besides those features mentioned above, Japanese universities are dominated by younger students compared to European and U.S. schools. Despite the large student enrollment in Japan, most will leave their campus for work between the ages of 20 and 23. The Education Ministry had not surveyed the number of adult students by age until the enrollment of adult students in master's degree programs was started to

be surveyed in 2000. Right now, Japanese universities are mainly institutions for young people, and not altogether convenient for adult students. However, with growing social acceptance of the idea of lifelong learning, this is changing rapidly.

III. Higher Education System before the War II

The first modern university established in Japan was the University of Tokyo in 1877, which was soon re-organized as the Imperial University in 1886. Since it was established by the strong initiative of the state, the missions of the Imperial University were to train future "elite" and to introduce or interpret Western science into Japanese society, both of which were necessary for the modernization of Japan at that time. It is very important to be mentioned that engineering and agriculture, which had been taught at outside university sector in most Western countries, were regarded as the essential part of the newly created university system. Soon people had realized the practical value of university education that would guarantee them to get good job and prestigious social status. This belief was created in the mid Meiji era or around the 1900s (Amano,1992), when Japan established its hierarchical higher education system, from the imperial universities down to various types of private schools, and prospective students even born in poor family could move up to a higher social status.

The educational system, however, was so called "European style double-track" secondary education system, in which a narrow university-track was separated from other tracks for those who immediately got employment or continued to further vocational training. In addition, the tuition for university was expensive at that time, and as a result people's desire for the access to higher education was not easily realized until the end of pre-war educational system. The introduction of "American style single-track" secondary education system after the War II, followed by the enormous growth of Japanese economy in 1960s and 70s, was the trigger for rapid increase of enrollment in higher education.

As for the system of governance of higher education institutions, it is worth mentioned that only the imperial universities had the privilege of "university autonomy" and the rest of the institutions were strongly supervised by the government. This privileged autonomy made the imperial universities be possible to nominate their president as the will of professors, and professors themselves were recruited by the process of "peer review." This privileged system, which was not

applicable to the rest of higher education institutions became widely introduced to all the new national universities and many private universities at the reform after War II.

IV. Educational Reform after the War II and Massification of Higher Education

The Japanese higher education system changed fundamentally after the War II. The reforms brought the various prewar institutions of higher education under an all-new university system, setting the stage for the establishment of many new universities. The government had new policy that intended to set up one national university in each prefecture except urban area like Tokyo and Osaka, where several national universities were allowed to exist within the same prefecture.

Japan experienced its first rapid growth of higher education in the 1960s and early 1970s. Due to various causes, the entry of 18-year-olds into higher education grew to 38. 6 percent in 1976 from 10. 3 percent in 1960. This broadening of participation meant not only a quantitative growth of higher education, but also a radical change in its character. Higher education is no longer for elite students, but for everyone who needs higher education. The increased demand for education brought about diversification in offerings, from purely academic to practical instruction.

To respond to this rapid quantitative and qualitative change, the Education Ministry initiated a new policy intended to control the quantity and improve the quality of university education in the mid-1970s; this policy, however, became unworkable when the 18-year-old population again began to grow.

This rapid massification was caused both by the people's desire for higher education and by the industry's demand for better qualified workforce in the field of engineering and its related field. As a result of this, Japan succeeded in keeping large number of engineers and technicians which were hepful for the rapid economic growth in 1960s and 1970s. The good combination of Japanese-style management and life-long employment for engineers and technicians helped Japanese economy and industry far greater than had been expected. Uniformity worked much better than individual creativity for mass-production system of manufacturing industry at that time.

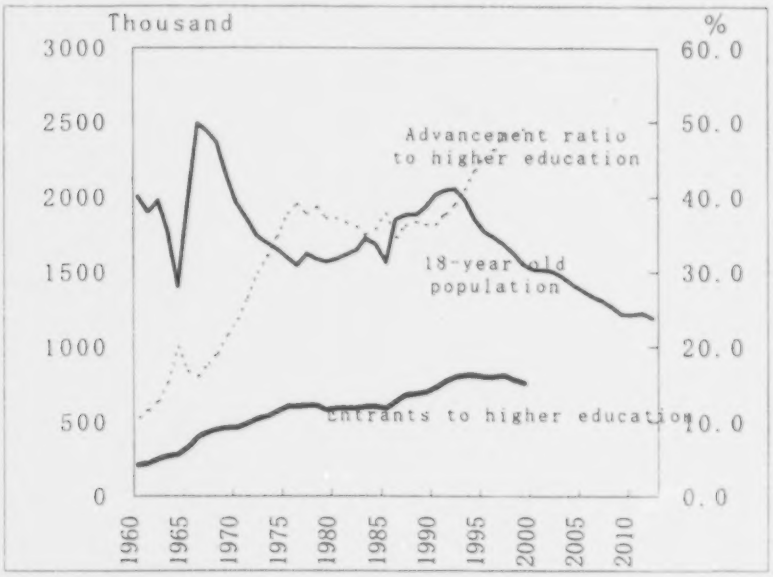
The second stage of expansion began at the beginning of 1990s, in response to a surge in the 18-year-old population in the late 1980s. The participation ratio of

18-year-old population grew from 36.3 percent in 1990 to 49.1 percent in 2000. But this was short-lived, and has since been followed by a steady decline in the 18-year-old population, which is estimated to fall to two-thirds within 20 years: from 2.05 million in 1992 to 1.20 million in 2009. Except for a few prestigious universities, the colleges and universities must consider how to deal with a future shortage of applicants and how to attract students (see Figure 3).

Along with the broadening of higher education, a growing number of people complained about the content of education, saying that teachers spent too much time on academic matters while many students prefer to take practical courses that will be useful for their future jobs outside academia. Another problem is the students' declining incentives to learn. Because many students who might not have enrolled in higher education two decades ago, are not accustomed to study abstract ideas taught in academic language, universities find themselves forced to change their way of teaching and the structure of their curriculum. In addition, tuition and fees of universities has been growing, especially of national universities, and people has realized the economic rewards of university education. Now, tuition of national university is about 500,000 yen, or 4,500 US dollars, and that of private institutions is around 800,000 yen, or 7,300 US dollars. For the mid-class family, this purchase is big enough to rethink of the value of university education. Along with the decline of 18-year-old population, people has started to "select" institutions to go, with consumer's mind rather than to be selected by the universities that had been the dominated mode of university entrance.

"Faculty development" (FD) has become a fashionable phrase in Japan in discussions of improvement in teaching. It is one way universities must reform themselves, in a situation where an inadequate response will mean they can no longer attract students.

Figure 3. Growth and Decline of Japanese Higher Education



Source: The Education Ministry. School Basic Survey

In this chart. higher education includes 2-year junior colleges.

V. Expansion of Graduate Education

The current system of graduate education in Japan. introduced after the War II. aimed at carrying out basic research activities in all academic disciplines to provide a sound basis for the development of scientific research of all types. producing highly qualified researchers and professionals. However. until the late 1970s. the system mainly provided for research training for future academics. In some areas such as engineering. growing enrollment had gradually changed the character of graduate education from academic research training toward professional training. Then reform of graduate school system was undertaken by the Education Ministry in the 1970s and 1980s. followed by the introduction of systemic flexibility and the expansion of functions.

Although graduate education aims at both academic research training and professional training. it is also regarded as an important place for research activities. Due to the broadening of university education. concerns about university research have shifted from undergraduate education toward graduate education and training.

Graduate school seems to be a sanctuary not only for university faculty members who wish to unite research and teaching but also for policy makers who regard university research as an engine for economic growth and technological innovation. Attitudes toward research as a primary focus are shown, worldwide and in Japan, in Figure 4.

Figure 4. Research vs. Teaching

Regarding your own preferences, do your interests lie primarily in teaching or in research?

	Primarily in Teaching (%)	Leaning to Teaching	Leaning to Research	Primarily in Research
Australia	13	35	43	9
Brazil	20	42	36	3
Chile	18	49	28	5
Germany	8	27	47	19
Hong Kong	11	35	46	8
Israel	11	27	48	14
Japan	4	24	55	17
Korea	5	40	50	6
Mexico	22	43	31	4
The Netherlands	7	18	46	30
Russia	18	50	29	3
Sweden	12	21	44	23
United Kingdom	12	32	40	15
United States	27	36	30	7

Source: Boyer 1994

The growing number of graduate students, especially in engineering, reflects new expectations from the industrial sector. Master's degree programs grew far more rapidly than those at the undergraduate level. The proportion of students who advanced from undergraduate to master's degree courses was low in the engineering field during the 1960s and early 1970s, but it had reached nearly a quarter by 1996; at the University of Tokyo, for example, 69 percent of undergraduate students at the School of Engineering advanced to graduate courses in that year. On the other hand, in the social sciences, this ratio has remained low (2 percent or so).

Although enrollment is different among disciplines, financing of graduate education has been closely connected to research intensity at Japanese national universities. The level of general university funds allocated to each national university from the Education Ministry is greatly different according to whether the university has doctoral programs or master's programs. The size of the general university fund allocated for a research unit that is connected to a doctoral program is

at least twice that of a research unit that is not. For private universities and also for local public universities, having doctoral programs confers prestige among neighbor institutions, even if they do not attract enough students.

Graduate education has thus been expanding by responding not only to the growing needs of society but also to faculty insistence that today all the national universities have, at least, a master's program and that 80 percent of them have doctoral programs. Additionally, 47 percent of private universities have doctoral programs, 19 percent have master's degree programs, while 34 percent have only undergraduate programs. The annual growth of graduate enrollment in Japan was the highest among major countries in the world: While the United States experienced about 1.8 percent of annual growth during the 1980s, Japan had 5.6 percent.

VI. The Relation of Universities' Role with the Knowledge based Economy in the 21st Century

1. Role of Universities

Since beginning of the 1990s, Japanese higher education system has experienced the biggest reform movement that had never happened before. Universities and colleges are asked to show ever increasing accountability of their education, research, and service. People recognize that the existing universities and colleges are not well prepared for the coming knowledge based society in the 21st century. The sophistication of science and technology urges universities respond more positively for the development of the economy. The private higher education institutions, in spite of continuing massification, are facing the steady decline of 18-year-old population, which caused great difficulty of recruiting enough number of students into their institutions. Universities are no longer traditional ivory towers with nostalgic collegial culture but a kind of public goods that should be supported by society in general.

The rapid pace of university reform in the 1990s is surprising enough for those who have been so much accustomed to the traditional role and character of universities. However, in recent years especially, the pace of reform has even been accelerated. Several new policy measures that have been initiated by the Education Ministry (Monbusho in Japanese) may change the character of universities, especially that of national universities, completely. As showed in Table 1, the introduction of new university evaluation system in 2000, i.e., the

creation of National Institution of University Evaluation, is one of the examples for university reform. In addition, the Education Ministry now seeks the way to remake the 99 national universities to be a new type of academic agencies that are independent from the main body of the government.

The scheme of the academic agency has been discussed along with the administrative reform for the Government as a whole, which seems to follow British-style reform to pursue a small government. In spite of strong opposition of university leaders and, to some extent, hesitation of the Education Ministry, the Basic Law for Independent Governmental Agencies put into operation in July 1999. Now discussed is how to apply the Basic Law to current national universities. The Education Ministry says that the new academic agency system will enable current national universities get more independence and freedom, including financial and managerial matters, with the heavier responsibility of each institution. It is, however, quite vague whether each national university can get more freedom or may fall under the detailed control of the Education Ministry. I think it depends on how each national university can organize strong managerial cabinet ("strong steering core" by Burton Clark's wording) in the central administration and also how the university can recruit or train its staff, no matter whether they have academic background or not, who have new professional knowledge and skill for institutional management and administration.

2. Further Reform in university research

In line with Science Council and other recommendations, the Education Ministry has for some time been making systematic, prioritized efforts to bring Japan's research infrastructure up to international standards and to create a scientific research system that is open to the world.

The Ministry is actively taking measures to advance the scientific research and related policies laid out in the Science and Technology Basic Plan, including:

(1) substantially increasing grants-in-aid for scientific research,

(2) creating a system to provide funding to the Japan Society for the Promotion of Science (for the Research for the Future Program),

(3) enhancing the research environment, including facilities and support systems,

(4) forming Centers of Excellence in research (COEs),

(5)promoting research under the New Program (Creative Basic Research) system,

(6) recruiting and training young researchers in preparation for the Program to Support 10,000 Post-doctorals,

(7) improving scientific information infrastructure,

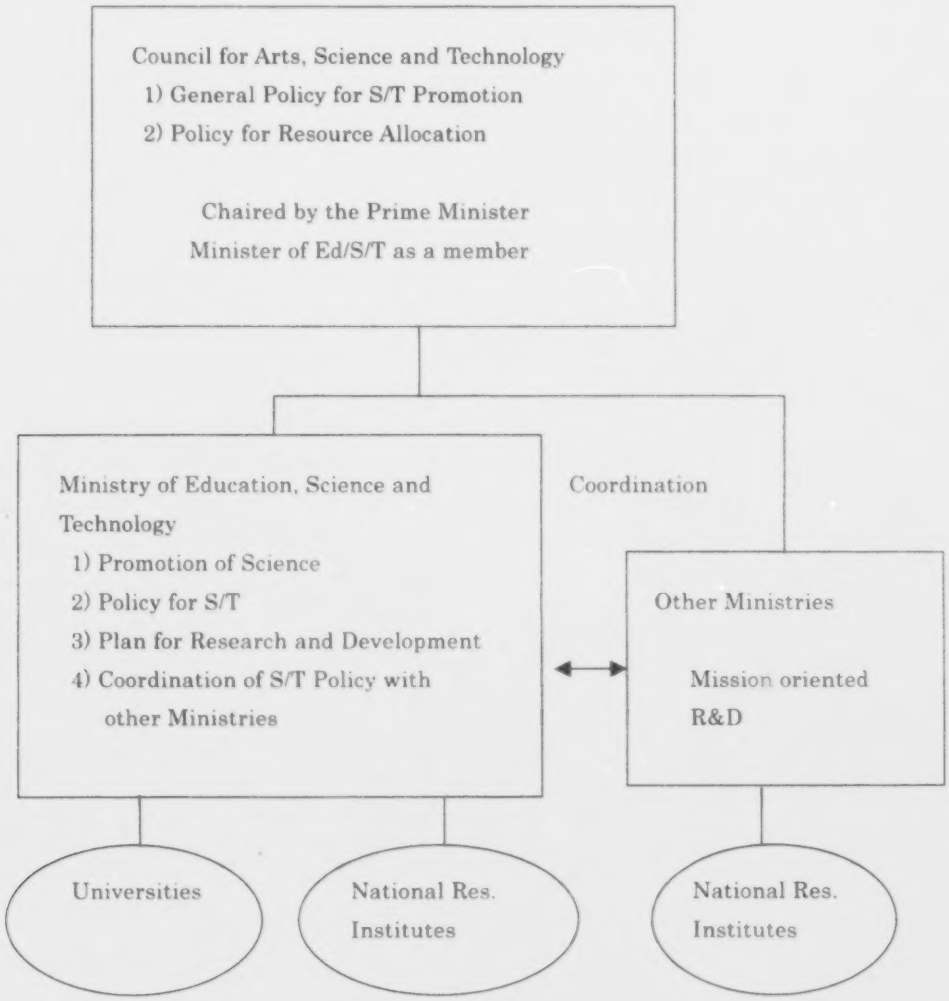
(8) promoting basic research in selected fields, such as space science,

(9) setting up a program to establish high-tech research centers at private universities,

(10) promoting research cooperation between universities and industry, and

(11) promoting international exchange and cooperation in science.

Figure 5. New Structure for Science and Technology Formation after Jan. 2001


Council for Arts, Science and Technology
1) General Policy for S/T Promotion
2) Policy for Resource Allocation
Chaired by the Prime Minister
Minister of Ed/S/T as a member
Ministry of Education, Science and Technology
1) Promotion of Science
2) Policy for S/T
3) Plan for Research and Development
4) Coordination of S/T Policy with other Ministries
Coordination
Other Ministries
Mission oriented R&D
Universities
National Res. Institutes
National Res. Institutes

These measures are being through continued substantial budget increases that have brought funding for scientific research and support for the Japan Society for the Promotion of Science. The Education Ministry will continue making special efforts to expand the budget for expenditures that are essential to promote scientific research in universities and will make every effort to achieve the goals laid down in the Science and Technology Basic Plan.

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Part II

Switzerland

Six-Nation Education Research Project (SNERP)

Responsiveness, Responsibility and Accountability in Swiss University Governance

Research supported by the
Federal Office for Education and Science, Berne

François GRIN, Yuko HARAYAMA and Luc WEBER

with the participation of
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University of Geneva

BACKGROUND TO THE RESEARCH QUESTION.....57

METHODOLOGICAL ASPECTS.....65

FORMAL CHANGES IN THE STRUCTURES AND PROCEDURES OF GOVERNANCE IN SWISS UNIVERSITIES.....73

RESULTS FROM THE QUESTIONNAIRE SURVEY.....87

COMPARATIVE PERSPECTIVE AND CONCLUDING REMARKS.....103

REFERENCES.....109

FOREWORD

This study has been carried out as part of the Six-Nation Education Research Project (SNERP), which brings together the following countries (in alphabetical order): Germany, Japan, the People's Republic of China, Singapore, Switzerland and the United States.

Each of the six participating countries has taken the lead in one project in the broad field of education research, with particularly emphasis on the governance of education systems or on the links between education and economic life. At the same time, the five other countries were invited to take part in the project led by the sixth. In practice, participating countries selected one or two projects in which they felt a particular interest. Although Switzerland's project focused on *Vocational Training and Education*, strong interest was expressed there for the project on *Higher Education* steered by Japan. Consequently, the Swiss Federal Office for Education and Science (OFES/BBW) decided to fund the present study.

The following pages contain a shorter version of the full-length report originally presented to the Swiss Federal Office for Education and Science (from whom the report is available). The present version is organised as follows: Chapter 1 presents the concepts of "responsibility", "responsiveness" and "accountability" which are crucial to the elaboration of our research question. Chapter 2 discusses methodology—in particular, the operationalization of the analytical concepts in order to make them amenable to research on the pressing issues of university governance in Switzerland. Chapter 3 surveys changes in the formal structures and procedures of governance in Swiss Universities. Chapter 4 presents a selection of the results of a questionnaire survey on higher education. Chapter 5 contains a comparative overview of the priorities of reform in university governance from the perspectives of Switzerland, Japan, and the United States.

It is important to note that this study is not intended as a detailed descriptive account of the Swiss higher education system (such accounts already exist, and some are quoted in the reference section); nor is it a general essay on the broad (even daunting) question of university governance in a time of change. Rather, it is intended as an attempt to relate a set of very fundamental questions of university governance (which can only be formulated using fundamental concepts) and the actual practice of every day decisions made in university governance—as it were, an exercise in bridge-building.

Much of this research is based on the results of a survey. In the latter, we chose *not* to ask relatively simple (though usual) questions of positive facts or normative judgements; rather, we asked respondents to answer questions already couched in terms of the fairly complex notions of "responsiveness", "responsibility" and "accountability" used throughout. Our focus on these questions reflects our conviction that some fundamental change is required for Swiss universities to rise to the challenges of university governance in the twenty-first century, and that some debate on these issues is a necessary condition for this to occur; on this basis, it will then become possible to engage in more targeted reforms about specific issues in university governance (for example, quality control in teaching, improved transparency in decision-making, inter-university co-operation in research, linkages between university and community, etc.).

We wish to thank the Federal Office for Education and Science of its financial support; the University of Geneva for providing the research team with the necessary research infrastructure; Erik Verkooyen, Monica Engheben and Michel Joye for their research assistance and preparation of the data base; and anonymous professors who have agreed to take some of their time to fill out our questionnaire. We also take this opportunity to thank in advance colleagues and other experts (whether in the context of the SNERP or not), whose comments and suggestions on this report will, of course, be greatly appreciated.

FG, YH, LW
July 10, 2000

CHAPTER 1

BACKGROUND TO THE RESEARCH QUESTION

1.1 Introduction

It has now become commonplace to say that, on the eve of the third millenium, higher education is confronted with major challenges, and that dealing with them will require substantial rethinking of its missions, its role in society and its mode of operations. These challenges are numerous and varied. Some are connected to *social demands* facing higher education (for example, the long-term increase in enrollments, the heightened importance of knowledge in modern societies, the diversification of the range of course contents to be offered, etc.); some clearly take the form of *constraints* confronting higher education institutions (e.g., reduction of state support for education, increasing standards in terms of accountability, etc.); finally, some of these challenges can be interpreted less in terms of additional burdens or tighter constraints, than in terms of *opportunities*, such as new avenues opened by the use of modern information technology and a renewed sense of responsibility of higher education to help social actors make sense of rapid change in many aspects of political, social, cultural and economic life. For all these reasons, higher education is at a turning point; this is bound to have major implications for the *governance* of higher education institutions.

There is an extensive scientific literature on these challenges as well as on current, predicted or recommended changes, whether in broad terms or in relation with the situation of specific institutions (on theoretical aspects of the phenomenology of change, see e.g. Conrad, 1978; for a discussion of the sources and conditions of change, see e.g. Clark, 1983; for a recent overall assessment, see e.g. Dill and Sporn, 1995); Baldridge and Deal (1977: 80) already observed that "change or innovation is a topic constantly discussed in the educational world" while Clark (1983: 82) points out that the university is "heavily resistant to change, but somehow also produces revolutionary change". The issues raised in the plentiful scientific literature[1] are, in turn, reflected in a variety of documents produced by, or on behalf of, government services responsible for university education (in the case of Switzerland: e.g. Conseil Suisse de la Science, 1993; Kleiber, 1999), as well as by international organizations where various stakeholders of higher education are represented (e.g. UNESCO, 1998; Collective, 1998; see also Hirsch and Weber, 1999, for a recent integrative overview; Weber, 2000).

Given this abundance of literature, it would only be moderately useful to add to it by attempting yet another analysis of the challenges and changes confronting higher education.

Quite apart from the difficulty of addressing an extremely broad topic, it must be stressed that it is a highly complex one. As Peterson (1995: 140) observes, "Writing about structure, governance, and leadership of a university in a time of stability is a daunting task. Doing so in a period of reform is probably foolish." The extreme complexity of the issues at hand are related to the fact that "[...] universities are at an unusual confluence of some basic social, political, economic, and technological forces which threaten to reshape the basic processes and structures of our institutions" (*ibid.*,

[1] Selected references on "Postsecondary adaptation" collated by Gumport *et al.* (n.d.) list some 600 entries.

141). Consequently, we cannot hope to do justice to this complexity, and we have deliberately chosen to focus on one issue (admittedly, a far-reaching one in itself), which can subsequently branch out in a variety of directions. In other words, rather than to deduct such a question from an extensive analysis of higher education in a context of change, we immediately position our research questions in terms of an issue we consider to be of importance. The issue in question is the relationship between the *responsiveness* of universities to social demand in a broad sense, and their *responsibility* towards society, in the context of *university governance*. We subsequently address subsets of these core questions, as these present themselves in the course of the investigation.

Chapter 1 aims at positing the building blocks of this procedure. It is organized in follows. In Section 2, we briefly review the challenges generally (if not systematically) confronting higher education in most affluent "northern" countries; in Section 3, we focus on the two core issues of "responsiveness" and "responsibility", assess their importance in the broader context of change in higher education, discuss their interdependence, and introduce our central research question: the joint recognition of responsiveness and responsibility, in a context of change, in the governance of universities, particularly the management of higher education. Section 4 discusses some results already available in the literature and pertaining to our research question.

1.2 A brief overview of challenges

An overview of the challenges that higher education[2] has to grapple with on the eve (now at the dawn) of the third millennium looks quite different depending on the level of generality at which it is positioned. In what follows, we refer in part to the very general framework used in some of the working documents drafted in preparation for the UNESCO's *World Conference on Higher Education in the Twenty-First Century : Vision and Action* (Paris, October 1998), and in part on Cameron and Tschirhart's (1992: 100) characterization of post-industrial environments as agents of change, with unpredictability, turbulence, resource scarcity, competitiveness and periods of declining resources. It should be clear, however, that more precise issues can be fitted into the items listed below. Most books concerned with university change start out with a list of some kind; see e.g. Schuster *et al*, (1994: 4). Clearly, what counts as a "challenge" is also dependent upon the missions assigned to higher education; this is another fundamental question that we do not delve into; for a discussion, see e.g. Muller (1977) or Allen (1988).

The concept of challenge is a fairly general one, yet it allows for categories. We have identified three broad categories, namely those that are related to *social demand*, to *constraints* and to *opportunities*. It must be clear, however, that these categories are proposed for expository convenience, and that actual "challenges" do overlap. In the

[2] In this paper, we shall eschew any discussion of the nature of higher education, and conform to the UNESCO definition adopted in 1993 : higher education includes "all types of studies, training or training for research at the post-secondary level, provided by universities or other educational establishments, that are approved as institutions of higher education institutions by competent state authorities". However, within the confines of this definition, we will focus on universities (ISCED 6 and 7) as a *subset* of higher education institutions. In other words, we specifically exclude "non-university tertiary education" (ISCED 5). This implies that, with respect to the Swiss education context, currently emerging *Fachhochschulen* or *Hautes écoles spécialisées* will not be included in this study. The chief reason for focusing on traditional universities is not that we wish to stress some intrinsic differences between them and *Fachhochschulen*, but rather the simple fact that the latter are only beginning to exist. This makes them unsuitable objects for an investigation of how their governance responds to change.

following pages, we limit ourselves to a succinct identification of each challenge, but their nature is not discussed in detail. However, but further elaboration can be found in the original full-length report (Grin, Harayama and Weber, 2000).

SOCIAL DEMAND

Social demand influences education, research, and other functions of universities, and has implications regarding the relationship between them.

1/ Increased demand and unprecedented expansion: *Higher education must prepare itself to deal successfully with increasing enrollments.*

2/ Increased strategic importance of knowledge in modern societies: *Higher education is expected to rise to the challenge of its increased importance in social and political life, in connection with rapid and pervasive technological innovation.*

3/ Diversification of demand regarding the range of instruction provided: *Higher education must be prepared to encompass a broadening and deepening range of subjects and to offer appropriate courses of instruction in them, and yet ensure the integration and coherence of its activities.*

4/ Questioning of the relationship between teaching, research, and additional functions required from higher education institutions: *Higher education must find a coherent balance of activities and adopt structures that are compatible with the maintenance of such balance.*

5/ Increasing public scrutiny over access conditions: *Higher education must define rules of access that are compatible with an effective discharge of its broad missions while taking account of the increased importance such decisions can have on the life chances of students and potential students.*

6/ Increasing responsibility as independent, leading actor in society: *Universities have a responsibility towards societies confronted with far-reaching changes; they must take a leadership in the assertion of core intellectual and ethical values providing guidelines for social and political action.*

CONSTRAINTS

7/ Reduction of financial state support, alternative sources of revenue and academic independence: *Higher education must find ways to finance its activities adequately with generally reduced public (unconditional) support, while maintaining its independence towards outside actors financing research work, as well as financial accessibility for students.*

8/ Calls for increased (and demonstrated) efficiency and accountability: *Universities must develop appropriate re-engineering procedures for achieving effectiveness and accountability, in their actual operations, without jeopardizing any of their missions.*

9/ Explicit requirements regarding internal democracy: *The re-configuring of universities' internal structures must combine the often conflicting goals of managerial efficiency and internal democracy.*

10/ Splintering of university education: *Universities must reexamine their self-representation as the chief (or sole) providers of higher education; this includes*

developing a vision of higher education where providers are increasingly varied; this also represents an opportunity to pay more attention to innovation in course contents and lines of research

OPPORTUNITIES

11/ Increasing importance of fast-changing information technologies: *Information technologies deeply affect the operations of universities, and their potential for bringing about change is far from spent. But this also greatly expands the range of things universities can do, and how they do it. Actual and probable transformations resulting from increased use of information technologies must be taken into account in the governance of universities.*

1.3 Responsiveness, responsibility and accountability

Some of the challenges presented in the preceding section are not new. However, looking back on this list, it is difficult to escape a feeling of dizziness. Seldom has any institution been required to meet so many challenges, each of them so demanding and specific in its implications, all at the same time. The state itself, of course, is one of those institutions that has to discharge a large number of complex duties, but the latter do not seem to be socially defined in such an exacting manner. Furthermore, the state apparatus normally enjoys the use of a wider range of instruments (not to mention statal authority itself) to act upon the situation; by contrast, the universities have much more restricted courses of action at their disposal.

It is also the case, however, that the university is one of the oldest surviving institutions of western history (although it has also appeared in other parts of the world, that is, outside the western. socio-cultural tradition). It is actually older than the modern state, and has shown an extraordinary capacity for adaptation and change. I. It is precisely some of the aspects of this *capacity for change* that lie at the core of our research project.

As announced in the introductory section of this chapter, our goal is not to propose a general, integrative analysis of the changes required or of how higher education institutions can achieve them. Rather, we wish to focus on one aspect of the process of change, which we believe to be relevant to just about *all* forms of implementation of change. In order to identify this core dimension of change, it is useful to reconsider the list of challenges above in terms of two concepts : responsiveness and responsibility.

On the one hand, universities are expected to be *responsive* to society's needs. These pertain, as we have seen, to rising enrollments, diversifying course contents, increasing of the range of courses offered, guaranteeing economical and transparent operations, safeguarding democracy of access and of internal structures, all this while of course ensuring relevance and quality (or, to use another popular term, "excellence") in teaching and research. In addition, universities are expected to fulfill an ever-expanding list of missions that have less and less to do with teaching and research, and more and more with the provision of fundamental aspects of quality of life. Meeting these multi-faceted demands is the "responsiveness" side of the role of universities.

On the other hand, while *responding* to society's demands, universities also have a *responsibility*, which may not be fully captured by its operations as a responsive institution. Because society is changing, it needs references and frames for social, political and economic debate, construction of meaning, identity, and consensus on

policies. The universities have a key role to play in providing these. We have noted that some of the duties that higher education is entrusted with can quite easily conflict with each other. In these cases, higher education must exercise its sense of responsibility *vis-à-vis* society, by adopting solutions that maintain and reassert the intellectual, ethical and social values on which it is built. This reassertion precisely constitutes one way of exercising its leadership role in society. It can sometimes mean selecting ways in which change should take place, sometimes encouraging and advancing change, but also sometimes resisting change.

Responsiveness and responsibility are present, at some degree of other, in each of the challenges listed above. Hence, meeting these challenges and engineering the corresponding changes calls for recurring arbitration between the requirements of responsiveness and responsibility; what is more, the arbitration must be a transparent one, in order for the university to be truly accountable and to play by certain formally and socially accepted rules.

Much still needs to be investigated about the relationship between responsiveness and responsibility, because their ubiquitous confrontation in university policy, particularly in a context of change, implies that this relationship must be a rich and varied one. However, an integrative inquiry of this relationship would far exceed the scope of our project. Rather, we are interested in *how the joint presence of responsiveness and responsibility is accommodated in university management and in particular, whether the joint exercise of responsiveness and responsibility allows for accountability*. In other words, we wish to investigate whether processes (and the structures within which processes take place according to formal procedures), in institutions of higher education, allow universities to be *responsive*, to be *responsible*, to *acknowledge the complementarity between responsiveness and responsibility*, to *arbitrate between them when necessary*, and to do it in such a way as to *demonstrate accountability*.

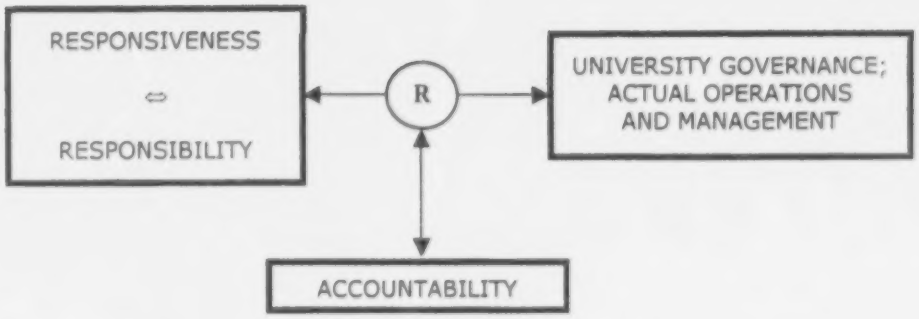
In this study, "accountability" is largely synonymous with "transparency", but implies a little more than generic transparency; specifically, the notion of accountability includes two conditions[3]:

- first, an *explicit acknowledgement of the social actors to whom* one is held accountable (e.g., the local parliament; taxpayers; students);
- second, a *commitment to play according to certain rules that are socially, politically, legally and scientifically legitimized* (e.g., the adoption of recognized scientific criteria in the evaluation of projects and people, instead of nepotism and power play), and to redress things whenever it is found that this is not the case.

Our central research question can be represented in a diagram (Fig. 1.1):

[3] Different authors stress different aspects of "accountability"; see e.g. Berdahl and McConnell (1994).

FIG. 1.1 CORE RESEARCH QUESTION



Clearly, our research focuses on the relationship R, in which the problem of guaranteeing accountability (particularly through transparency) is also contained. This gives rise to the following set of questions :

1) How do higher education institutions collect and absorb information which they subsequently use to adapt their operations (e.g., prerequisites for graduation or course contents)?

2) Which (internal) procedures do higher education institutions follow to arbitrate between conflicting social requirements regarding their activities?

3) Which (internal) procedures do higher education institutions follow to arbitrate between the responsiveness principle (i.e., meeting some or other component of social demand) and the responsibility principle (i.e., exercising their leadership role and asserting values of which they are the chief social repository), when these two principles appear to conflict with each other?

4) Which structures exist to perform the university's functions, while also following sound principles of governance?

5) Is the satisfactory fulfillment of these principles a purely internal issue of higher education institutions, or is it explicitly or implicitly negotiated with other stakeholders in society at large?

Clearly, this set of questions is far from exhaustive; however, it fleshes out some of the core characteristics of universities' *capacity for change*. Nevertheless, our investigation is not prompted solely by the strictly analytical interest of these issues. This research also aims at contributing to the efficient governance of higher education institutions in a context of change. As Cameron and Tschirhart point out (1992: 88), "some evidence exists that managers and administrators can adapt to these [changing] environmental conditions by responding appropriately". This, in turn, gives rise to a second set of questions, pertaining not so much to *positive* processes and structures, but to normative stands about them:

6) How do stakeholders judge existing processes and structures in terms of their capacity to achieve responsiveness and responsibility in a context of change?

7) Do stakeholders diverge in their views about the re-engineering and re-structuring required?

8) Which kind of re-engineering of processes is required to enable higher education institutions to perform these functions to satisfaction?

9) Which kind of re-configuring of structures is required to enable higher education institutions to perform these functions to satisfaction, and to meet jointly the principles of responsiveness, responsibility and accountability?

10) What are the governance strategies, decision processes and organizational structures that can be advocated on the basis of answers to the preceding questions?

This second set of questions is therefore intended to elicit answers that can help sketch out principles of *best practice of university governance* in a context of change.

There is a considerable literature on change from the perspective of organization theory (that is, without necessarily referring to the particular context of higher education), with several classics such as DiMaggio and Powell (1983) or Drucker (1988), and a growing amount of literature on higher education that examines change (e.g., several contributions by Clark, various years).

However, looking at these two strands of literature, it quickly becomes apparent that the question asked in this study, though it certainly is germane to the majority of higher education reforms, is quite a specific, even novel one. The fact that universities must *respond* to changing social demand is, of course, well-known and lies at the core of just about all the literature on higher education reform; the reciprocal fact that universities also have *responsibilities* towards society (which are not fully captured by their responsiveness role) is also recognized (although such acknowledgement tends to be more visible in documents emanating from international groups representing high-level university authorities — see e.g. the 1998 *Glion Declaration*). Analytical work focusing on the links between responsiveness and responsibility is much harder to find. When the question is further specified as that of the integration of the responsiveness-responsibility complex into processes and structures (particularly in the context of change), there is an almost complete dearth of research. Therefore, there is little in the way of existing literature to bank on, implying that this study, to a large extent, will have to venture into mostly uncharted territory[4]. More specifically, the precise issue of how university governance can be responsive and responsible in a context of change, particularly when these two principles conflict with each other, seems not to have been formally analyzed, whether in theoretical or empirical terms. As a consequence, this report has an exploratory character, with all the risks and opportunities inherent to this type of research.

However, one assumption will be made at this point, one that structures the way in which information material is to be gathered. Our assumption is that a key ingredient which makes it possible to combine the *principles* of responsiveness and responsibility may well be this trendy, yet somewhat elusive notion bandied about in the public service sector since the early eighties, namely, "accountability".

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[4] In the full-length report, a section is devoted to an overview of pointers from the existing literature, mentioning in particular work by Conrad (1978); Clark (1983); Cameron (1984); Hrebiniak and Joyce (1985); Cameron and Tschirhart (1992); Frackmann (1995); Gioia and Thomas (1996); and Clark (1996). This discussion is skipped in the present shorter version.

Accountability is often proclaimed, in quasi-liturgical fashion, as if it had illocutory virtues. Yet its actual meaning remains hard to explain. Our assumption, will be that appropriate resolution of the conflict between the responsiveness and the responsibility principles in university governance *requires* accountability. If this assumption is confirmed by the empirical work, the latter will then also serve to get a better understanding of what accountability really means.

CHAPTER 2

METHODOLOGICAL ASPECTS

2.1 Introduction

As the overview in Chapter 1 has shown, the literature on university governance has identified the notions of responsiveness, responsibility , and accountability, mostly in the context of wide-ranging social change and the challenges that higher education must face as a consequence. However, there is little in the way of analyses of how these principles are combined in university governance. As to the notion of accountability in university governance, it has gained increasing attention as part of a larger trend abetted by the popularity of notions of efficiency, often enshrined in the "new public management" paradigm; however, analysis has accorded comparatively little attention to the operationalization of these notions.

Rather, such operationalization seems to have been investigated mostly in the perspective of responsiveness, for example in the study of entrepreneurship in universities (Clark, 1998), and "responsibility" is either mentioned as a vague framework condition (sometimes as a mere afterthought), or it may be overlooked entirely.

In the absence of literature articulated in terms of the three analytical concepts of our study, there was no set procedure to guide us in the empirical research, and a procedure needed to be expressly devised for this purpose. The aim of this chapter is to present it; as such, it can be seen as a first attempt at operationalizing "responsiveness" and "responsibility" in the governance of Swiss universities confronted with change. The challenge is to bring together the concepts of governance, change, responsibility and responsiveness in such a way that information about their interaction can be retrieved from the observation of Swiss universities. This observation, in turn, relies on two types of sources: written materials on the governance of universities as contained in legislation, by-laws and ordinances regulating the operations of universities and survey data collected by way of a questionnaire to be sent out to a certain number of actors in the Swiss university system.

2.2 On the notions of change and what change has affected

We are interested in governance in the context of change, and hence in the way in which governance itself changes to reflect macro-level societal change. Pinpointing change requires an identification of "before" and "after".

Change affects structures and procedures, but characterizing them, in final analysis, must be based on the identification of what actors *do* (or of what *is done* to them), the shortcut to the questions at the core of our study is provided by the notion of "acts of governance". To the extent that responsibility and responsiveness are principles that ought to be exercised as characteristics of the decisions made by actors in the university system, these actions themselves must be placed at the center of the empirical observation. These are the actions we call "acts of governance". Examples include appointments to tenured positions, creation or termination of programs of study, drafting of yearly budgets, etc. Hence, a small selection of acts of governance are

investigated in this study, and responsibility and responsiveness are evaluated with respect to such "acts".

Nonetheless, "elements of structure" do exist within the universities, and they do exercise the decision-making power that manifests itself through "acts of governance" — as such, they need to be featured in the study. "Elements of structure" (which will sometimes be referred to as "EoS" below) are distinct from "structure" in the sense that they are not given *a priori*, but emerge only as the locus of specific acts of governance. For the sake of convenience, formal structures (e.g., the Council of Faculty Deans, the University Council, the Rectorate or Presidence) are referred to later *in lieu* of "elements of structure", but these are mere *institution-specific proxies* for the broader (and presumably less variable) "elements of structure" which are present in most institutions and which carry out acts of governance. The six elements of structure used here are presented in Table 2.1 (Section 2.3).

At the same time, some groups of stakeholders, though not formally part of the structural bodies of universities, are affected by reforms in university governance, and the way in which their position changes as a result of reforms are a further indicator of the degree to which responsibility and responsiveness are actually practiced. These stakeholders (civil society, including business and public opinion; the authorities—or the state; professors as a professional corporation[5]; students and non-tenured research and teaching staff) can be defined in sufficiently broad terms that they can be assumed to represent relevant groups across specific contexts, and still constitute relevant components of the analysis.

Acts of governance, *elements of structure* and *groups of stakeholders* therefore emerge as key categories in our investigation, and they are given greater or lesser prominence in the various stages of the gathering of data. In the following sections, we describe the methodology adopted:

- in the analysis of legal texts, which focus on elements of structure and stakeholders;
- in the gathering of survey data, which uses questionnaires organized around acts of governance;
- in the interviews, we emphasize the relationship between change affecting elements of structure on the one hand, and the exercise of responsibility and responsiveness in acts of governance on the other hand.

2.3 Approaching change in university governance through the study of legal texts

The study of legal texts is a fairly standard way of examining university governance, as well as possible changes in modes of governance as a result of reforms. Actually, this type of exercise is quite frequently carried out by individual universities or in a comparative perspective; in Switzerland, such studies have considered either the overall combination of structures and procedures (e.g. Manidi, 1994) or specific decisions (e.g. Grin, Metzger and Grüner, 1997). Given that a number of substantial changes have taken place since the very extensive study commissioned by the Rectors' Conference, it was considered desirable, if only to be able to rely on up-to-date background information, to reexamine legal texts with particular attention to change.

In order to highlight change, the information extracted from these documents was organized in the following two-way table:

[5] In this context, the word "guild" could be quite appropriate.

TABLE 2.1 CHANGE IN SWISS UNIVERSITIES AS REFLECTED IN LEGAL TEXTS

Element of structure considered (EoS) ↓	Changes in the appointment and composition of the EoS	Nature of change in the extent of competencies of the EoS	Magnitude of change in extent of competencies
EoS maintaining links with non-university community (e.g. "Academic Council")	A1	B1	C1
EoS maintaining links within the university (e.g. "University Council")	A2	B2	C2
EoS reserved for tenured Faculty members (e.g. "University Senate")	A3	B3	C3
EoS carrying top decision-making power (e.g. University Rector or President)	A4	B4	C4
EoS bringing together limited number of actors with decision-making power within the university (e.g. Council of Faculty Deans)	A5	B5	C5
EoS with decision-making power at the Faculty level (e.g. Dean, Faculty Council [within a Faculty])	A6	B6	C6

While the number of "elements of structure" could have been more or less, the six EoS listed above constituted a good compromise between case-specific precision and cross-institutional generality, and lend themselves to a comparison of institutions in Switzerland.

The contents of cells in columns 2, 3 and 4 (containing cells "A", "B" and "C") require a few words of commentary. Column 2 contains a brief characterization of the change in the appointment and composition of the respective EoS. In the case of the University of Geneva's *Academic Council*, for example, there is major change, since this body was actually *created* by the 1995 reform. Column 3 mentions the nature of the changes in the extent of the competencies that this body enjoys. Again in the case of the University of Geneva's Academic Council, it *approves* the University's *general policy plan* previously developed and/or approved by the Faculties, the Rector and the University Council (in this order); it *transmits* the University's specific *development plan* to cantonal authorities; it must *approve* the *budget* submitted by the Rector; and it *advises* cantonal authorities on the *creation and retrenchment* of programs and chairs. Clearly, if only because this body did not exist before the reform, this represents a massive *increase* in competencies, which will be evaluated accordingly in Column 4. Quantification of the degree to which competencies have increased or decreased in an extremely delicate exercise, so it was decided to keep it as light as possible. As a consequence, a simple seven-point scale with the following values was adopted:

-3: suppression of the EoS as a result of reform;
-2: significant decrease in extent of competencies of EoS;
-1: minor decrease in extent of competencies of EoS;
0: status quo;
+1: minor increase in extent of competencies of EoS;

+2: significant increase in extent of competencies of EoS;
3 : creation of EoS.

The resulting matrix provides a bird's eye view of the evolution of the role of key EoS in each university; this is a useful proxy of a representation of structures and procedures as they have changed over time, but to the extent that it is mostly a reformulation of provisions contained in legal texts, it only goes part of the way in the interpretation of the role of social and institutional actors which this study intends to investigate. This latter task requires us to venture into an estimation of how these roles have changed.

To this end, a second two-way table was designed, focusing on *stakeholders' formal presence, or representation,* in a given EoS (and, by implication, as depicted by the first table, the extent of their competencies). The two-way table is shown in Table 2.2, where each cell contains a value ranging from 0 to 3 (half points allowed) assigned to the degree of influence of a group of stakeholders as follows:

0: none;
0.5: weak;
1: moderate;
1.5: medium;
2: significant;
2.5: dominant (but not exclusive);
3: exclusive

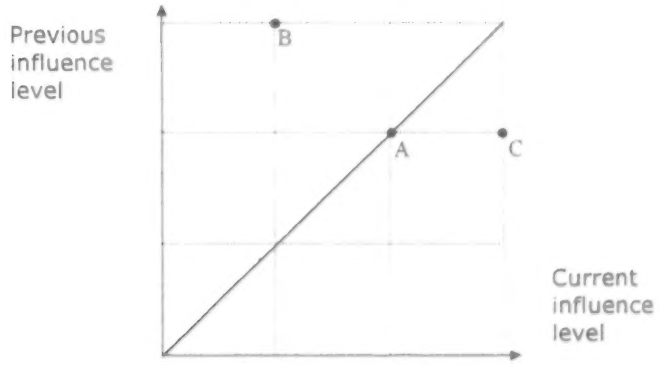
TABLE 2.2 REPRESENTATION OF GROUPS OF STAKEHOLDERS IN ELEMENTS OF STRUCTURE OF SWISS UNIVERSITIES

Group of Stakeholders → Element of structure considered (EoS) ↓	Cantonal Authorities	Civil society (business and general public)	Tenured Professors	Student body and non-tenured staff
EoS maintaining links with non-university community (e.g. "Academic Council")	E1	F1	G1	H1
EoS maintaining links within the university (e.g. "University Council")	E2	F2	G2	H2
EoS reserved for tenured Faculty members (e.g. "University Senate")	E3	F3	G3	H3
EoS carrying top decision-making power (e.g. University Rector or President)	E4	F4	G4	H4
EoS bringing together limited number of actors with decision-making power within the university (e.g. Council of Faculty Deans)	E5	F5	G5	H5
EoS with decision-making power at the Faculty level (e.g. Dean, Faculty Council [within a Faculty])	E6	F6	G6	H6

On the basis of information retrieved from legal texts, values are entered in the matrix in two versions: one reflecting the positions of stakeholders *before* and *after* the latest round of reform at each institution.

This lends itself to two types of convenient graphical representation, allowing for inter- and intra-institutional comparisons. The horizontal axis represents the group of stakeholders' *current* level of influence (as reflected in their representation in various EoS), while the vertical axis represents their *previous* level of influence. Since both axes use a three-point scale, the values in the *ex ante* and *ex post* matrices can be combined to define points in the graph space, as shown in Fig. 2.3 below.

FIG. 2.3 REPRESENTING CHANGE IN THE INFLUENCE OF STAKEHOLDERS



Clearly, a point such as A (on the first diagonal of Fig. 2.3) indicates that the degree of influence of a particular group of stakeholders has remained unaffected by the change in legislation. Its influence is deemed "significant", a fact reflected in its position at level 2 both before and after the reform. By contrast, point B denotes a sharp drop in influence from level 3 to level 1, while point C shows an increase in influence from level 2 to level 3.

If A, B and C represent *different* groups of stakeholders within *one* university, a diagram such as 2.3 will provide a bird's eye view of the direction in which power and influence have tilted as a result of reform (at least in theory); if A, B, and C represents the *same* group of stakeholders at *different* institutions (say, universities A, B, and C), such graphs will show whether reforms have tended to go in the same direction in all universities (which would mean that all points will be found in the same area of the graph) or if opposing evolutions can be observed (in which case we would end up with a very scattered set of points).

An in-depth analysis of these legal texts would have required an accordingly *legal* analysis. This, however, is much beyond the scope of this study, and our investigation has no claim to legal expertise. Rather, our goal is to identify general patterns (if any) in the evolution of university governance by focusing on the influence of given groups of stakeholders on specific "acts of governance". Another reason for not attempting a formal legal analysis of these texts is that the "acts of governance" are, by definition, complex ones that *subsume* or combine many decisions which can be legally spread over different actors and technically broken down into separate decisions, which could not be analyzed in their institution-specific detail. Evaluating "who does what" with respect to "acts of governance" requires us to make methodological decisions, and to pass judgement about particular decisions and their importance in the overall "act of governance". For example, the procedure which ends up in the adoption of a yearly

budget goes through several stages, some of which are purely formal, whereas others imply a much stronger influence on the structure of expenditure and revenue of the university. It is therefore our (subjective) judgement that *as part of a complex act of governance* such as deciding how much the university should spend on what, legal texts pertaining to the inner workings of an institution indicate that one or another group of stakeholders does (or does not) exert significant influence[6]. In short, our "reading" of legal texts is an *interpretive* one, and as such, it is open to discussion. As indicated before, our chief aim was to see if any general patterns in terms of governance (as distinct from narrowly legal prerogatives) would indeed emerge.

The results of our examination of legal texts are presented in Chapter 3 of this study.

2.4 Questionnaire survey

Looking at legal texts offers only a "theoretical" picture of change in university governance, and provides circumstantial evidence about the actual or perceived presence of responsibility and responsiveness in it. In order to get closer to these core issues of the study, it was decided that a questionnaire would be sent out to (i) university rectors, deputy rectors, presidents, and vice-presidents, including those who had held this office over recent years but had in the meantime returned to a normal professorship position; (ii) all Faculty deans in Switzerland; (iii) all heads of intra-university research institutes; (iv) a 40% sample of all the (approximately) 2,500 tenured university professors in the country, generating an *ex ante* sample of some 1,000 persons.

The type of information to be sought, however, needs to be quite different from what was investigated in the case of legal texts. The chief reason for this is that individuals surveyed cannot realistically be expected to be well acquainted with the formal changes that have affected the structures and procedures in their institution as a result of reform. In an ideal environment of full information (meaning, in this context, that this information would actually have been absorbed and understood by respondents), it would indeed have been logical to ask them questions about whether such changes had, in their view, positively or negatively impacted on the institutions' capacity to demonstrate responsibility and responsiveness. However, there was a major risk that their evaluation of this capacity (which remains the chief concern of this study) would be obfuscated by confusion about what actually had, or had not changed. In addition, it is not always clear that respondents would be sufficiently well-informed to tease apart *formal* change from *actual* practice, and asking them to evaluate changes in responsibility and responsiveness at both levels separately would have resulted in a highly complex and rather unwieldy survey instrument.

As a consequence, we have chosen to short-circuit these problems by asking respondents to evaluate their institution's capacity to be responsible, responsive and accountable under the current (post-reform) arrangement. Hence, whereas our analysis of legal texts focuses on change rather than responsibility and responsiveness, the reverse holds true of the survey.

Another important aspect of the survey is that it explicitly focuses on *actual* practice, not on the way things are supposed to happen. First, as pointed out above, it may be unrealistic to assume that professors actually know the formal rules. Second, the formal rules being retrievable directly from the legal texts themselves, the real interest of

[6] The list of legal texts used is provided in the appendix.

information supplied by professors lies in what it reveals about actual practices, and how these practices are viewed.

As regards the topics to be addressed in the questionnaire, they need to focus on decisions where responsibility, responsiveness and accountability can, in principle, be exercised. This requires structuring the questionnaire in terms of *acts of governance*, as theoretically defined in Section 2 of this chapter. Owing to the vast number and heterogeneity of such acts of governance, it would have been impossible to aim at exhaustiveness. As a consequence, three broad groups of acts were identified, and broken down into more specific questions, which do not superimpose perfectly with the acts of governance examined through legal texts. These three groups are the following: (A) the appointment to tenured positions, spanning the entire process from the definition of a job profile to the final selection of a candidate; (B) the creation, modification or retrenchment of courses, programs, syllabi and research and teaching units; (C) the allocation of funds in the yearly university budget.

Each group of questions contains three main "blocks".

The first block is made up of objective questions, e.g.: "What is the respective degree of influence of group of actors X on act of governance Y?" (where X can be groups of stakeholders as well as elements of structure, and Y can be "short-listing of candidates for a tenured position"). Answers are expressed along a five-point scale ranging from 1 (none) to 5 (discretionary). Another example is "How important is criterion W in act of governance Z?" (where criterion W can be a candidate's international reputation, and act of governance Z can be the final decision to appoint one of the candidates short-listed).

The second block is made up of three subjective evaluation questions; these address the extent to which the current structures and procedures, in the respondent's judgement, allows the institution to be responsive, responsible and accountable. Again, answers are expressed along a five-point scale.

Finally, space is left in the third block for the suggested changes. Respondents are first asked which stakeholders should, in their opinion, be given more or less power to influence the group of "acts of governance" considered. A list of 15 stakeholders (plus an added blank line for an additional type of stakeholder that a respondent might like to mention) is provided, and a respondent my indicate if, in his or her opinion, "students" or "assistants" should be given more or less say, or if their current level of influence should remain unchanged. Respondents are then asked to indicate if this proposed change in influence is meant, in their view, to favor responsiveness, responsibility or accountability — more than one answer, of course, being possible.

The questionnaire was administered in French or German, according to the language region in which the university of a particular addressee is located. Only addressees teaching in the bilingual university of Fribourg/Freiburg received the questionnaires in both versions.

The questionnaire is, indeed, a "difficult" one as questionnaires go, because it refers to the three principles investigated, namely responsiveness, responsibility, and accountability, and is couched in terms of the manifestations of these principles in specific acts of governance. These three principles, which (under these or similar designations) are fairly common currency in specialist research, are not necessarily familiar to all university professors, despite the fact that they are arguably central to the operations of the institutions from which they draw

their salary. In other words, there is a certain degree of risk involved in issuing questionnaires structured in terms of these concepts.

An alternative could have been to ask *prima facie* simpler questions about acts of governance, and then to *interpret* the answers in terms of responsiveness, responsibility and accountability, which would then have being confined to an underground role. However, this would have created another type of risk, linked this time to the meaning we would have been led to assign, in terms of these three principles of university governance, to the answers given about the acts of governance themselves. Furthermore, we were also interested in respondents' own evaluation of whether existing practices are capable of ensuring that these three principles are actually respected in university governance. For all these reasons, we decided in favor of an uncompromising questionnaire, trusting the ability of the best minds in the country to acquaint themselves with these notions, if only because they can be expected to relate so directly to their professional practice. We have endeavored to minimize the risks of misunderstanding by explaining, in an accompanying letter as well as in the cover page of the questionnaire, the meaning of responsiveness, responsibility and accountability, as well as relevance to the problem of university governance.

Given the difficulty of the questionnaire, we regard as acceptable the response rate in excess of 25%, yielding a final sample of N=263. Survey results are presented in Chapter 4 of this study.

CHAPTER 3

FORMAL CHANGES IN THE STRUCTURES AND PROCEDURES OF GOVERNANCE IN SWISS UNIVERSITIES

3.1 Introduction

In the preceding chapter, we have discussed the methodology of this research; we now move on to results, and little additional detail is required regarding the production of these results, apart from the necessary caveats.

As regards the "formal changes in structure" (and procedures), these could have been approached in different ways. As indicated in Section 3 of the preceding chapter, we have decided to look at the most recent version of the legal texts regulating the operations of nine Swiss universities (Geneva, Lausanne, Fribourg, Neuchâtel, Berne, Basel, Zürich, Lucerne, Saint-Gallen—the recently created Università della Svizzera italiana having been omitted owing to precisely to its youthfulness—, and the two branches, located in Zürich and Lausanne respectively, of the Federal Institute of Technology)[7], and to compare it with the version previously in force. A comparison between the latter and the former version with respect to specific "acts of governance" reveals the direction in which a change has occurred in terms of the degree of influence of different stakeholders on these particular acts of governance.

It should be noted that this chapter deals only with the nine "cantonal" universities, and not with the two Federal Institutes of Technology. The reasons for this are the following. First, the legal standing of the Federal Institutes of Technology is fundamentally different from that of other universities. Federal Institutes of Technology fall within the purview of federal authorities, and the notion of "state" applying in their case is therefore a different (and unique) one. Second, if only because of the nature of the political constituency corresponding to the government level competent for them, the notion of "civil society" is also a different one. Third, Swiss Federal Institutes of Technology, though endowed with a strong and centralized presidency, are made up of fairly independent units (called "institutes"), most of which specialize in applied or fundamental scientific fields. The relative independence of these institutes restricts the role of "horizontal" internal coordination bodies found in other universities. In short, in the case of the Federal Institutes of Technology, the scope for inter-university comparison with a view of identifying overall patterns of change in the *formal* governance structures in Swiss universities would have been limited, and the relevance of the exercise debatable: the Institutes truly are a world of their own. For these reasons, their case is not discussed in this chapter devoted to the study of *formal* structures; however, they will of course be integrated in the study of the *informal* procedures developed in the following chapter.

Our interpretation of formal decision-making structures in the nine cantonal universities is summarized by three sets of tables and diagrams.

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[7] The following abbreviation system will be used in tables and diagrams: Geneva: GE; Lausanne: LS; Neuchâtel: NE; Fribourg: FR; Berne: BE; Basel: BS; Lucerne: LU; Zurich: ZH; St. Gallen: SG; Federal Institutes of Technology: ETHZ (Zurich campus) and EPFL (Lausanne campus). For an overview of higher education in Switzerland, see *Vision* (theme issue 12/1997).

The first set describes the presence of different elements of structure, as they appear in the formal texts, with respect to several acts of governance, namely, appointments to tenured professorships, creation and change of programs and degrees, and the allocation of financial resources (Section 3.2). Since we are interested in formal elements of structures only to the extent that they allow us to identify the role of stakeholders, this section is confined to a brief and descriptive account of the formal allocation of decision-making power in Swiss universities. The second set (Section 3.3) indicates how the influence of each group of stakeholders has changed as a result of the most recent of reforms, whether the latter pertain to the inner workings of the university, or to its position with respect to other social institutions—in particular the state. The groups of stakeholders considered are: (i) civil society (including business), which can be represented in decision-making bodies in different ways; (ii) the state (meaning, in the Swiss case, cantonal authorities, except for the two Federal Institutes of Technology, which are under the purview of federal authorities); (iii) tenured professors; and (iv) students. Finally, because of their specific (and generally growing) role in university governance, the case of university rectors will be addressed in a separate section at the end of this chapter (Section 3.4).

It is important to recall that, since these "stakeholders" (civil society, the state, tenured professors, and students) are generally not mentioned *as such* in legal texts, we have used the concept of "elements of structure" (EoS) as a bridge. Elements of structure are formally constituted bodies in the university system (for example, an Assembly of professors belonging to the same Faculty, such as "sciences"). Legal texts normally indicate the composition of such bodies in terms of groups which, directly or indirectly, correspond to our groups of stakeholders.

In other words, our investigation requires a three-step procedure: in the first step, we identify relevant elements of structure, focusing in particular on their position within the system (including their very existence), and on the change in the competencies that these bodies enjoy; in a second step, we focus on the relative position of groups of stakeholders in the respective elements of structure; finally, we then infer from the preceding steps how the influence of different groups of stakeholders has changed as a result of the latest reform or round of reforms.

This type of analysis is necessarily very case-specific, since the decentralization of the Swiss university system, as well as the historically grounded specificities and idiosyncrasies of each university, make for considerable variability, and details will not be presented here; to a large extent, the work amounts to filling out the tables presented in Section 2.3 of the preceding chapter. Nevertheless, the tables and diagrams that encapsulate these successive steps are available in a separate set of background documents that can be obtained from the authors.

3.2 About the "elements of structure" and the selection of "stakeholders"

As noted above, "elements of structures" (EoS) can be very different from one university to the next, which has impelled us to focus on a limited number of EoS's found (under varying designations) in most institutions. Given the variability between them, some of these EoS's do not exist some universities, while others are specific to some. The main EoS's *mentioned in the legal texts of the respective Swiss universities*, and considered in our investigation are the following:

- a body variously named "Academic Council" (GE, LS), "University Council" (NE, BS, ZH, SG), or Senate (FR), whose main function is to be a bridge between the University and the outside, normally state authorities and civil society;
- a body such as the "University Council" (GE), "Senate" (LS, BE, LU, ZH, SG), "Plenary Assembly" (FR), "Rectoral Council" (NE), or "Regency" (BS), whose main function is to be a link within the university structure;
- the Rectorate or Presidence of the University (all universities);
- Faculty-level decision-making or coordination structures (all universities);
- other bodies, usually found in either one of two categories: structures whose membership is restricted to tenured professors; specialist administrative or organizational authorities, usually instituted in the universities that have undergone the most far-reaching type of reforms.

Table 3.1, though *not exhaustive*, is enough to give an idea of the high degree of variability between Swiss universities. It must also be pointed out that the actual make-up of each body can be very different (in terms, for example, of student representation), and that the way in which their influence has changed as a result of the latest round of reform is also very different[5].

TABLE 3.1 SELECTED ELEMENTS OF STRUCTURE IN SWISS UNIVERSITIES

MAIN FUNCTION	DESIGNATION*	FOUND IN
Links between university and state and/or civil society	Conseil académique	GE, LS
	Sénat	FR
	Conseil de l'Université, Universitätsrat	NE, BS, ZH, SG
Intra-university links	Conseil de l'université	GE
	Sénat, Senat	LS, BE, LU, ZH, SG
	Senatsausschuss	SG
	Assemblée plénière	FR
	Conseil rectoral	NE
	Regenz	BS
	Fakultätsversammlung	BS, ZH
	Erweiterte Universitätsleitung	ZH
Faculty level authorities or coordination bodies	Conseil de Faculté, Fakultätsrat	GE, LS, FR, NR, BE
	Conseil des Doyens	LS
	Décanat, Dekanat	GE, LS, NE, LU
	Doyen, Dekan	FR, BE, ZH
	Abteilungskonferenz	SG
Other	Verwaltung	LU
	Planungskommission	BS

** The "rectorate" (or university presidence) is not mentioned in this table, since it appears in every one of the institutions surveyed.*

In order to abstract general patterns, from such a heterogeneous population, it is not possible to refer to EoS's themselves. The relative representation of groups of stakeholders (which are encountered in all universities) is therefore used as a means to assess the change in their influence, taking into account their weight within formal elements of structure (see Chapter 2), whose role is explicitly mentioned in legal texts.

[5] Summary tables for each university are available from the authors.

In order to arrive at an assessment of overall patterns and to allow for a comparison between universities, it is important to move on from the level of "Elements of Structure" to that of "stakeholders". The correspondence between these levels is shown in Table 2.2 (Chapter 2). However, since much of this research makes use of the notion of "stakeholder", our specific choice of stakeholders requires some commentary, even though the principle of using stakeholders as an analytically relevant actor has already been discussed in the preceding chapter.

As noted earlier, the groups of stakeholders referred to are the state, civil society, tenured professors, and students. Civil society and students are groups whose relevance is fairly clear and does not require further discussion at this stage; however, the role of the other two groups must be pointed out, since it reflects specific power structures within the Swiss academic system.

First, the importance given to the state as an actor in the field of higher education reflects the fact that in the Swiss university context (as in other European countries and in Japan), its role has always been, and now remains, a central or even near-monopolistic one, contrary to what can be observed in the United States.

Second, the importance of "tenured professors" as stakeholders (as well as the fact that one of the acts of governance analyzed is precisely the *appointment* of candidates to tenured positions) reflect the fact that "tenure track positions" are comparatively rare in Switzerland, although the pattern can vary not only across universities, but also between faculties (e.g., Law, Sciences, Arts, etc.) within any given university[9]. It is often the case that time-limited master-assistant positions, though roughly similar to assistant professorships in the north American academic system, imply comparatively less perspectives, let alone guarantees, of future academic employment. Hence, a major gap separates intermediate positions from tenured professorships, reinforcing the strategic relevance of the latter, and explaining why appointment procedures are, particularly in Switzerland, such a key dimension of governance.

Third, the reader may note the absence of lecturers and researchers in our groups of stakeholders. This absence is merely a consequence of the point just made: not only do untenured lecturers and researchers have little, if any, secure job perspectives; they also, by and large, enjoy no more influence in university governance than students themselves.

3.3 Evolution of decision-making power

We now turn to the evolution of the decision-making power of stakeholders in Swiss university systems.

In this section, we shall present only diagrams that emphasize our interpretation in terms of changes of the relative power, of different groups of stakeholders with respect to different acts of governance. In other words, we focus on stakeholders, but alternative emphases are also possible. For example, we could focus on the acts of governance themselves, and see how, within each particular university, the relative position of each group of stakeholder has changed; alternatively, we could focus on each university separately, and evaluate how the role of all four groups of stakeholders

[9] "Tenured" means, in this context, holding a work contract without explicit time limitation, or a specified duration which is normally renewed automatically at regular intervals, up to retirement age.

has changed. Since this study is part of a project that stresses international comparisons, the specific features of Swiss universities as such is of less relevance, and we have therefore decided to prioritize readings of our data in terms of stakeholders, because the latter make sense in other university contexts.

For each of the ten universities considered[10], we report below results on the three following acts of governance: **appointments of professors to tenured positions**; the **choice of the university rector**; and **adoption of the yearly budget**. This choice of acts of governance is constrained by the fact that, to the extent that we were primarily interested, at this stage, in formal decision-making, only those acts of governance that are readily identifiable as such in legal texts are relevant.

Civil society

Let us now begin by looking at the role of "civil society", which is summarized by the three panels in Fig. 3.2. The concept of civil society is admittedly a broad one, but it can be said to represent an important stakeholder, in that modern governance (in several domains of public policy extending well beyond higher education) increasingly recognizes the legitimacy of citizen's association, as well as the relevance of developing ties between the academic and the business worlds; in some cases, religious institutions also have a say.

The role of civil society in the **appointment procedure to tenured professorships** is not new, in that the "outside" has, for a long time, been represented in one or another of the appointment committees involved in the vetting process of candidates. The fact that such representatives are not self-appointed but usually picked by state authorities does not detract from the fact that, *in the formal procedures being examined here*, they should function as truly independent voices of civil society. The latter's overall influence, however, is moderate or limited, if only because such representatives have a minority presence in the various committees involved in the procedure. Yet again, considerable inter-university variation can be observed, with a not insignificant role for civil society in Lucerne, Basel or St. Gallen, and a moderate or negligible one in the other universities. When it comes to assessing change, the overall pattern is one of stability—that is, the formal role of civil society in the appointment of tenured professors does not seem to have been much affected by reform, with the notable exception of Basel, where its role has markedly increased.

Moving on the **choice of a rector**, we can observe (as in the case of the state), a much stronger homogeneity of Swiss universities. Generally, civil society play a very limited role, although it is slightly more important in Geneva and St. Gallen. However, a univocal pattern of change does emerge. Even though the influence of civil society has not changed in Lausanne, Berne, Lucerne and Basel (where it officially exerts no influence), as well as in Neuchâtel and St. Gallen (where its influence is secondary), its role increases in Fribourg, Zurich and particularly Geneva.

Turning now to the formal role of civil society in establishing the university's **budget**, it comes as no surprise that its role is a limited one, presumably reflecting a widely-held view that civil society's input is relevant in decisions that give the university a face (be it that of professors of a rector), but that more technical questions such as budget-related ones should be left to practitioners and specialists. With the exception of St. Gallen (a university that has a tradition of close ties with the business community), the role of civil society is negligible.

[10] The Federal Institute of Technology is regarded as one institution, although it has independent campuses in Lausanne and Zürich, because the regulations applying to both are identical.

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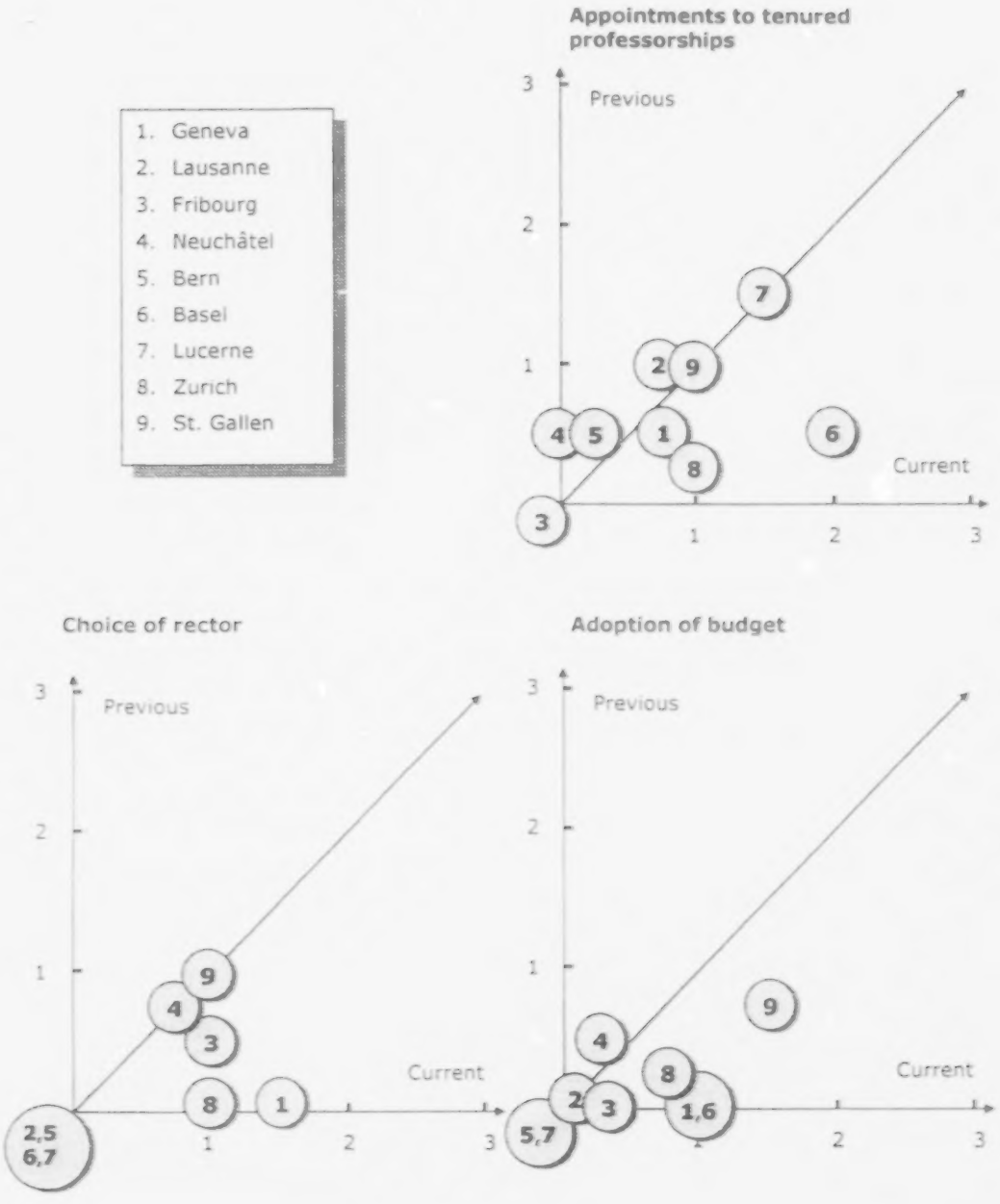
FIG. 3.2 INFLUENCE OF CIVIL SOCIETY ON:



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Nonetheless, an unambiguous evolution can be observed, in that its role in budget decisions tends to increase. This is visible not only in St. Gallen, but also in Geneva and Basel, where its previous role was non-existent.

THE STATE

We now move on to a discussion of the role of the state. Its evolution is described in Figure 3.3, panels (a), (b) and (c).

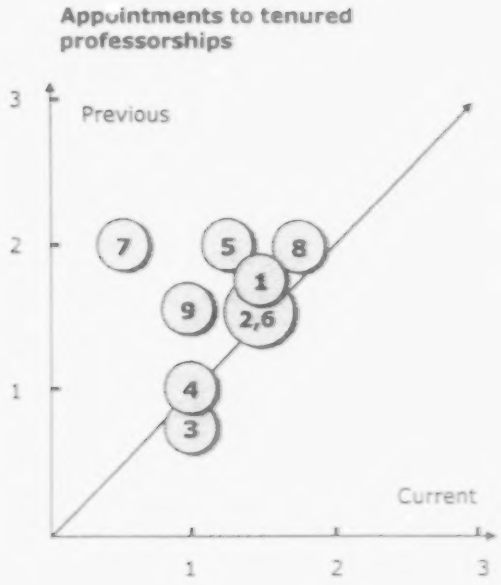
As regards the **appointment procedure to tenured professorships**, it is clear the role of the state can be extremely different across universities. It is high in a clutch of five universities (Berne, Lausanne, Lucerne, Geneva and particularly Zurich), average in two (St. Gallen and Basel), and more limited in two more (Neuchâtel and Fribourg). However, the direction of change is more homogeneous: the general pattern is one of declining influence. This evolution is particularly clear in the case of the University of Basel, where a significant influence (to which 2 points on the 3-point scale was assigned before the latest round of reforms) has declined to a rating of 0.5. This decline can also be observed in Berne, Zurich, Geneva and St. Gallen. No significant change is noted in Neuchâtel, Lausanne and Lucerne; finally, a very modest increase in state influence seems to have appeared at the University of Fribourg.

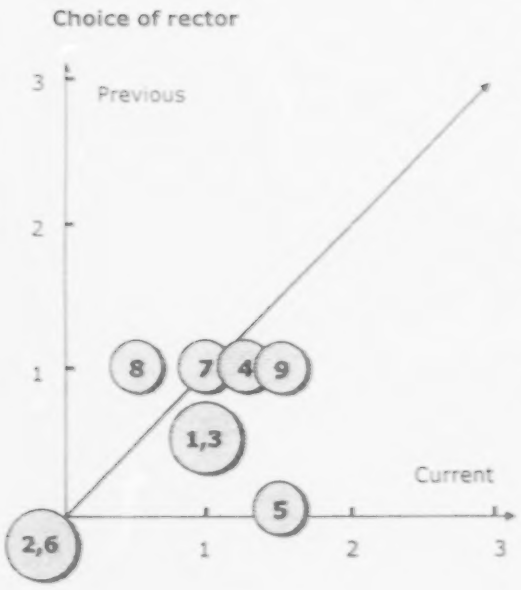
The pattern looks quite different when we turn to the **choice of a University rector**. First, Swiss universities are less heterogeneous in this respect; second, the influence of the state is generally moderate or low.
Swiss universities also are more similar in terms of the direction in which the state's role has changed: with the exception of Zurich (slight decline) and Lausanne, Basel and Lucerne (no change), the general tendency is one of rising influence of the state. This can also be observed in the case of the University of Berne, where the state is now responsible for appointng the rector, on the basis of a proposal by the University Senate.

Finally, Swiss universities display the highest overall degree of homogeneity, in terms of the influence of the state, when it comes to **adopting the yearly budget.** In all cases, its influence is very high, and inter-university variation is modest. Generally, no major change in this degree of influence can be detected in the case of Berne, St. Gallen, Zurich and Geneva, and a more substantial one in the case of Basel. This case is a particularly interesting one, in that the role of state, as pointed out above, has decreased significantly with respect to the other two acts of governance considered here. Before moving on, it is important to recall, however, that the adoption of the overall budget is one thing, while the precise allocation of this budget within the university is quite another; this point is taken up in the next chapter.

FIG. 3.3 INFLUENCE OF THE STATE ON:

1. Geneva
2. Lausanne
3. Fribourg
4. Neuchâtel
5. Bern
6. Basel
7. Lucerne
8. Zurich
9. St. Gallen





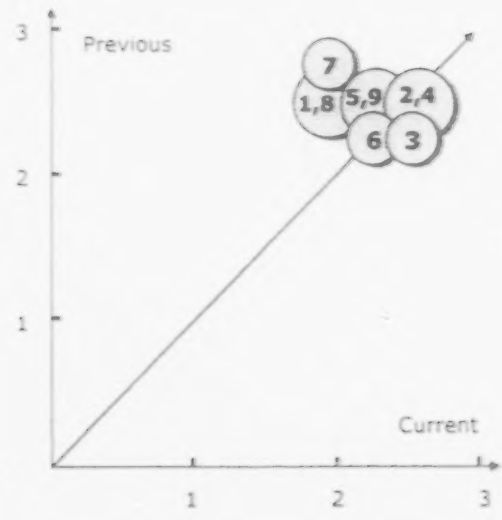


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FIG. 3.4 INFLUENCE OF PROFESSORS ON:

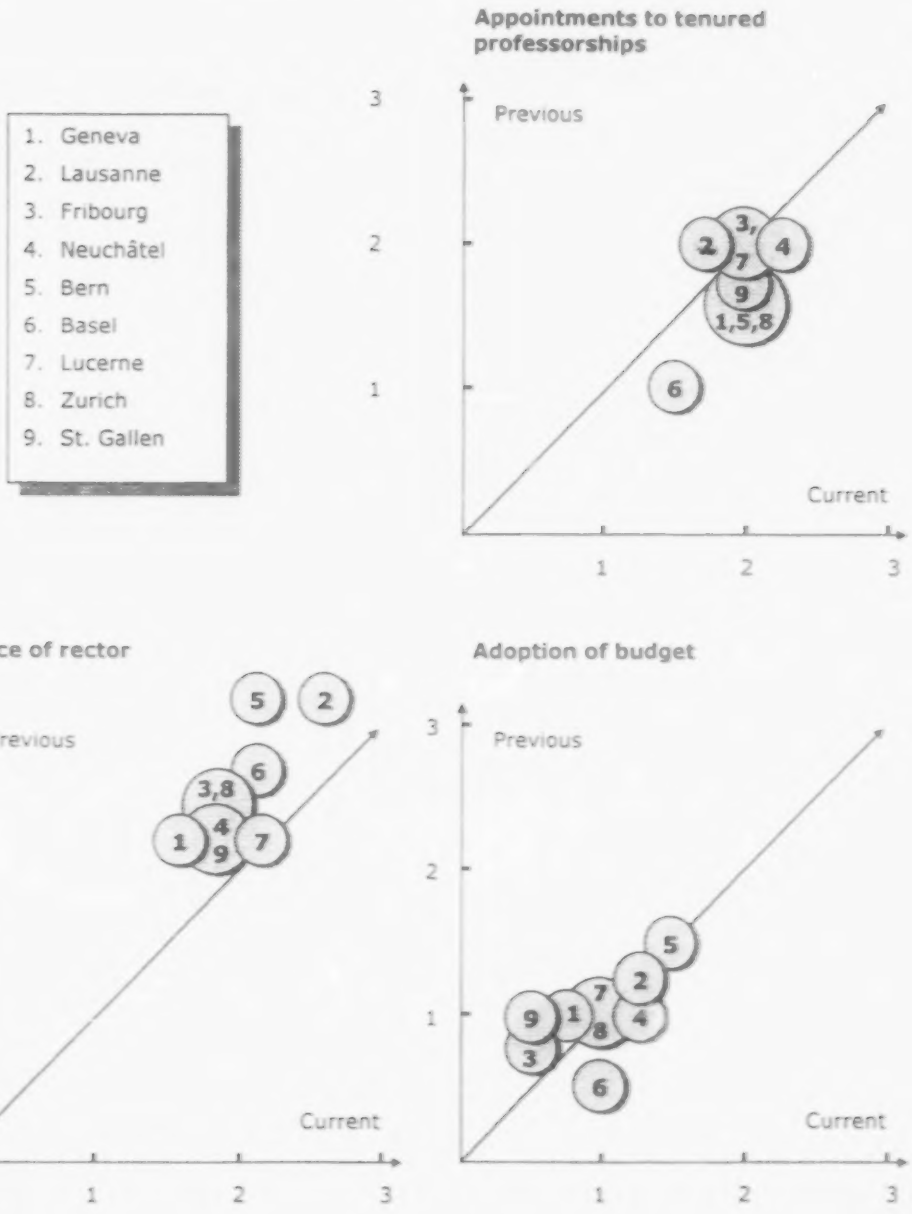

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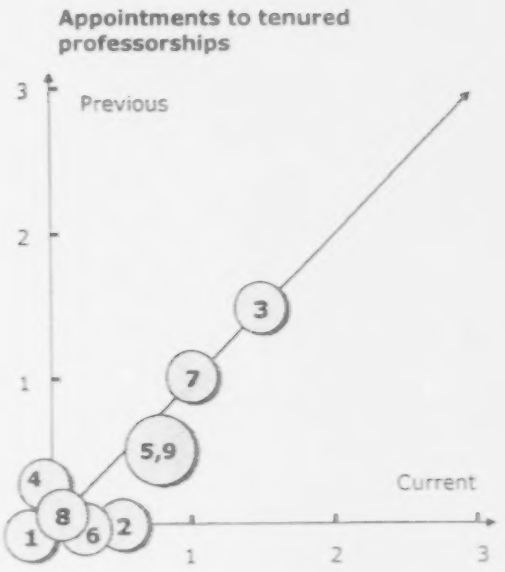
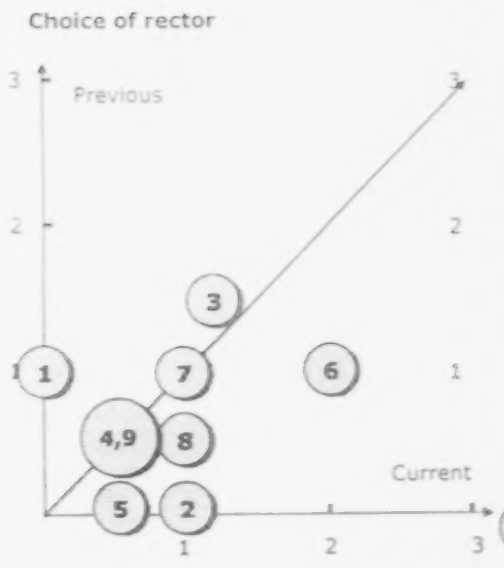
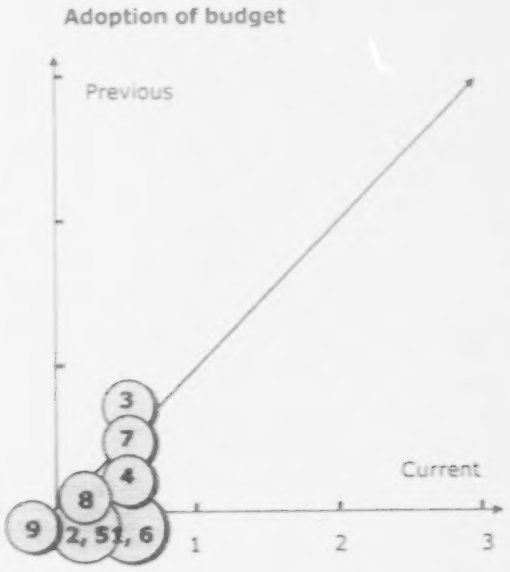
FIG. 3.5 INFLUENCE OF STUDENTS ON:

1. Geneva
2. Lausanne
3. Fribourg
4. Neuchâtel
5. Bern
6. Basel
7. Lucerne
8. Zurich
9. St. Gallen







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Professors

Let us now turn to the examination of the influence of (tenured) professors.

University professors exert a strong influence on the **appointment of their peers**, where their role is indisputably stronger than that of the other three groups of stakeholders. With some modest degree of variation, all universities are grouped towards the far end of the diagonal on Fig. 3.4. It is not the case, however, that professors can make such decisions on their own, and their influence is actually moderate in Basel (as it already was before the latest round of reforms).

Nonetheless, recent changes in legal provisions in this respect reveal little change, or a slight increase in the power of professors, for examples in Geneva, Berne and Zurich.

Professors also play a traditionally dominant role in the **choice of the university rector**. Up until the recent reforms, they could make such a decision on their own in Berne and Lausanne, while their role was significant in all the other universities. Interestingly, the latest round of reforms reveals a generalized pattern of decline in their influence, albeit modestly so. Only the university of Lucerne has remained unaffected.

Finally, university professors play a modest or even restricted role in the **adoption of the yearly budget**. There is, of course, some degree of variation, with a greater influence in the case of the University of Berne, and a much more limited one in Fribourg. Clearly, this is one area in which state authorities, as shown above, maintain their determining influence. In the same way, no clear pattern of change emerges in this respect: professor's influence on budget decisions has remained by and large unaltered by recent reforms.

Students

Despite the fact that teaching is universally recognized as one of the core missions of universities, if not its most important one, students play a decidedly limited role in university governance.

Let us consider first their influence on **appointments to tenured professorships**. With the exception of Fribourg, where one student representative sits on the *commission d'appel* (the committee in charge of the first round of selection), and where students can make up to 40% of the "Conseil de Faculté" (Faculty council) which, just like the rector and the cantonal government, has to endorse the proposal made by the *commission d'appel*, their influence is minor (Lucerne, St. Gallen, Berne) or zero (everywhere else). No significant evolution can be detected, apart from a somewhat cosmetic change in the university of Lausanne, where students' influence moves from "nil" to "very weak"—and which stands out because the recent reforms at Lausanne university have not resulted, otherwise, in any significant change in the appointment procedures.

As regards the **choice of the university rector**, the picture is more nuanced and diversified. While students' influence remains by and large modest, it is not negligible in Fribourg and Basel, and to some extent Lucerne. There has been change due to recent reforms, but it is not unequivocal: students' influence declines in Geneva, remains essentially the same in Neuchâtel, Lucerne and Fribourg, and increases slightly in Berne, Lausanne and Zurich; only in Basel does their influence reach a significant level.

Finally, decisions on the **yearly budget** are wholly outside of the power of students to influence; as shown in panel (c) of Fig. 3.5, their influence remains nil or very weak in all universities, and any changes brought on by the latest reforms has not resulted in any significant increase.

OVERALL ASSESSMENT

Although the acts of governance considered here represent only a fraction of the myriad decisions made in university governance, they do cover some of the most important ones. With respect to these acts of governance, the current balance of power in university governance, at least in formal regulations laid out in legal texts, indicates that the Swiss academic system is one in which power is shared between tenured professors and the state, while civil society can have a limited voice, and students, practically none at all. It is of course a difficult thing to venture an overall evaluation of the shifts in the balance of power resulting from the recent wave of reforms. However, at the risk of oversimplifying what obviously is a very intricate set of patterns, the following statements can be made:

The **state** remains a strong actor with respect to the adoption of the yearly budget; its role tends to increase with respect to the choice of university rectors, and to decrease with respect to the appointment of tenured professors.

The role of **civil society** remains, by and large, a limited one, with no discernible trend as regards the appointment of tenured professors, and modest increases with respect to the choice of university rectors and the adoption of the yearly budget.

Tenured university **professors** have a modest role in budget matters, but a strong influence on the choice of rectors and on the appointment of their peers; their influence regarding the budget remains constant, while it tends to decrease with respect to the choice of rectors, and to increase as regards the appointment to tenured positions.

Finally, the role of **students** is by and large a negligible one, particularly with respect to budget matters and the appointment of tenured professors; no significant change can be detected, although new regulations contain an inkling of increasing influence with respect to the choice of university rectors.

Moving on to an even higher level of generalization, we could sum up by saying that the groups of stakeholders with significant power (the state and tenured professors) have kept it, while the groups of stakeholders with little power (civil society) or no power (students) fare no better than before, although a marginal change benefiting civil society may be detected.

In view of the above results, one may be tempted to conclude that the achievements of the latest round of reforms (with possible exceptions such as Basel) are rather meager, which opens the question of the actual political intentions underpinning those reforms, as well as the extent to which the university system is actually susceptible to change. Before drawing such inferences, however, let us recall that the above only pertains to *formal* structures, and that actual practice may depart from them to a significant extent. This point will be taken up, using survey results, in the following chapter. Before doing so, however, it is useful to focus on the question of the formal decision-making power of top-level university authorities, that is, the rectors themselves.

3.4 The evolution in the role of university rectors

The rector, as an individual actor, may have more or less personal importance; in several universities, what really matters is the "rectorate", that is, a team of top-level decision makers comprising a rector and colleagues variously designated as vice-rectors or pro-rectors. In what follows, the term "rector" will be used to denote either set-up, it being understood that it represents the highest hierarchical unit within the university. We also chose to refer to university rectors in the masculine, since up to this time, all Swiss university rectors have been men, with one exception[11].

In order to get an overall view of the evolution of rectors' role according to formal texts, we have examined the nature of the change defining their position in the structure, as well as attempted to identify the most notable changes affecting the extent of their competencies; finally, we have graded the importance of this change, on a five-point scale (theoretically) ranging from –2 to +2. As before, we warn the reader that this grading is based on our overall assessment of the evolution of their role, and that it is not intended as an exact measure, but as a highly compact summary of modifications presented in sometimes arcane legal texts[12].

This information, arranged by universities, is summarized in Table 3.6.

Overall, the pattern is one of minor gains in formal power in the university structures, although the precise extent of these gains is difficult to assess on the basis of legal texts. What power gains are made by rectors is largely due to an overall tendency towards increased university autonomy, reflecting a partial departure from the traditional state-run model, and these gains do not necessarily remain in the hands of rectoral teams, since they in part trickle down within the university structure.

Given the focal role of rectors in university structures, it is hardly surprising that this role should be modified by changes in legislation. In other words, the striking fact is not so much that their changes in their role have occurred in two out of three universities; rather, it is the modesty of these changes that could lead us once again to question the actual political intentions underlying recent reforms.

The overview of competence changes with respect to three acts of governance presented in the preceding section has shown that the strong stakeholders in the university system remain, apart from the state itself, tenured faculty. By contrast, other stakeholders only made marginal gains. Hence, it is likely that the competencies of which the state divests itself, and which are not transferred to or retained by the rectorate, eventually find their way to the level of professors or, in some universities, to a small group of professional managers with no academic involvement. Generally, the balance of power, as reflected in legal texts, does not change markedly, and autonomy gains are apparently not monopolized by rectors.

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[11] Ms Verena Meyer, currently President of the Swiss Science Council, has been Rector of the University of Zurich for a period of four years.

[12] The five-point scale is defined as follows: "-2": major influence loss; "-1": minor influence loss; "0": no change; "+1": minor influence gain; "+2": major influence gain.

TABLE 3.6 EVOLUTION OF RECTORS' INFLUENCE

UNIVERSITY AND DATE OF REFORM*	STRUCTURE AT RECTORAL LEVEL AFTER REFORM	NATURE OF MAJOR COMPETENCE CHANGE, WHERE APPLICABLE	COMPETENCE CHANGE RATING
Geneva (1994)	Unchanged: 1 rector, 3 vice-rectors	Increased autonomy (Rector no longer supervised by Faculty deans)	+1
Lausanne (1994)	Unchanged: 1 rector, 2 to 4 vice-rectors	No change	0
Fribourg (1997)	Unchanged: 1 rector, 2 to 4 vice-rectors	Slightly more detailed listing of competencies, otherwise no change	0
Neuchâtel (1996)	Unchanged: 1 rector, 2 vice-rectors, 1 secretary general	Slightly increased control over financial resource allocation	+1
Berne (1996)	Unchanged: 1 rector, 2 vice-rectors, 1 academic director, 1 administrative director	Autonomy gain of the university in general, thereby increasing rectoral autonomy	+2
Lucerne*** (1996)	Unchanged: 1 rector, 1 pro-rector or rector-elect	Minor gains offset by devolution of competencies to Faculty deans	-1
Basel (1995)	1 rector, 2 to 3 vice-rectors and 1 university administrator**	Significant gains due to greater overall autonomy of the university; some power gains distributed inside	+2
Zurich (1998)	"Universitätsleitung" ("University direction") with 1 rector, 1 pro-rector and 1 administrative director	Mainly formal changes; body created in replacement of earlier "Büro des Senats-auschusses"; more autonomy and decentralization	+1
St. Gallen (1988)	Unchanged: 1 rector, 2 vice-rectors	Unchanged	0

* Reform in main legal text only; date refers to year in which the law was passed.

** Previously: 1 rector, 1 pro-rector, 1 rector-elect.

*** Lucerne is a much smaller institution than all the others, with only two faculties (Theology; Philosophy and Human Sciences) and currently some 250 students; it is, however, recognized as a full-fledged university.

CHAPTER 4

RESULTS FROM THE QUESTIONNAIRE SURVEY

4.1 Introduction

The governance of universities in a time of change, whether in Switzerland or elsewhere, requires a capacity to respond to major challenges, which we have attempted to identify at the beginning of Chapter 1; we have then seen that a common thread running through them is that of the *principles* of university governance—as distinct from the university's *functions*. These principles are those of *responsiveness*, *responsibility* and *accountability*.

As noted earlier, such notions are complex ones; they are usually not mentioned in the legal documents that regulate university governance. In the preceding chapter, we have surveyed the previous and current state of legal texts, which has enabled us to get an overall impression of the *formal* allocation of power and influence among different stakeholders in the system (the notion of system being used here in a very general sense). However, if only because those texts are not structured with reference to the three principles of responsiveness, responsibility and accountability, they do not enable us to draw conclusions regarding the capacity of Swiss universities (or, more precisely, of the actors in the system whose actions amount to "governance") to apply those principles in a time of change.

In order to address this question, it was necessary to acquire more specific information and to this end, to carry out a survey.

First, whereas many questionnaires often include a significant proportion of general questions which respondents answer in writing in two or three lines, our questionnaire contains mostly closed questions; most answers are given on a five-point scale (e.g. from "nil" to "determinant" degree of influence of *actor X* on some *act of governance Y*).

Second, where most questionnaires ask fairly simple or straightforward questions of fact or opinion, ours asks "difficult" questions, many of which specifically refer to the notions of responsiveness, responsibility and accountability. Our main reason for this was that it would have been perilous to base the conclusions of the entire research with respect to responsiveness, responsibility and accountability on some interpretation, in terms of these principles, of answers given to much narrower and practical questions. Given the complexity of the issues at stake, it was almost unavoidable to ask questions at a certain level of complexity. Although difficult questions involve risks, our view was that those risks would remain in an acceptable range, given that respondents were all university professors, accustomed to handling complex ideas.

Some of the results are presented using simple graphs for readability, other with basic two-way tables. Given the relatively low numbers of respondents (N=263), there is only a limited number of cases in which elaborate statistical treatment would have been possible within reasonable intervals of confidence, and at this stage of the analysis of results, only simple statistics are presented.

We have introduced from the start one important distinction among respondents, by breaking them up in three groups (which will subsequently be referred to as categories A, B, and C).

Group A is made up of professors who currently hold or have held a position at rectoral level (usually, as rector, vice-rector or president). Group B is made up of professors who hold or have held a position at an intermediate level in the university hierarchy (e.g., as Faculty dean or Department chairperson). Group C is made up of all the rest—namely, professors who have never held either type of office. As shown below, group B is the largest, with 164 respondents; this must not be interpreted as the sign of a quirk in hierarchical structures, which actually are duly pyramidal, but as the normal consequence of rotating department chairmanships; at some point or other in his or her career, a professor will almost unavoidably serve as department chairperson. By contrast, current or past experience at rectoral level is much less frequent (46 respondents only)[13],[14].

4.2 General sample profile

This section is devoted to a general overview of the sample. As a general rule, all the information presented will be broken down by group (A, B, and C) as defined above.

This distribution of respondents is commensurate with the respective size of universities, allowing us to view of the sample as an adequate reflection of the target population. The majority of respondents (55.9%) had been employed in the same institution for 15 years or more; 33.1% between 5 and 15 years; and 9.5% for less than five years; this apparent age bias reflects the fact that over recent years, the relatively low numbers of professors retiring has restricted the number of new hirings. In keeping with the above, 54% of the sample is aged 55 or more; 43% are aged between 40 and 55; 1% are under 40; this distribution also reflects the issue, briefly alluded to at the beginning of Chapter 3, of the conditions of access to tenured positions—which for the past 15 years have rarely been awarded to applicants who had not reached their mid-forties.

---

[13] Although group B numbers 164 respondents, both groups A and C contain less than 100 observations (46 and 53 respectively). Nevertheless, when interpreting the breakdown of these subsamples with respect to some question or other, we have used percentage terms, in order to avoid cumbersome expressions such as "12 respondents out of 53 say...". It is clear, however, that this is a liberty taken for stylistic purposes only.

[14] In what follows, we shall omit any discussion of confidence intervals. Such a discussion would make sense if we had a *representative* sample; simply by dint of having resorted to mailings (instead of, say, a random telephone survey), our sample cannot be expected to be representative in a statistical sense. Even though our list of addressees was generated through a random procedure (which enabled us to select 1,000 individuals among all professors in Switzerland), we have deliberately oversampled rectors and former rectors. However, we have no control over the *final* sample, and ours is obviously biased towards persons who have more time—or are more inclined—to answer questionnaires, or persons who do not have time and do not particularly enjoy answering questionnaires, but are willing to contribute their opinion out of a sense of civic duty. It is quite possible that persons possessing any one of the above characteristics are non-representative of the entire population of tenured professors with respect to their opinions regarding the questions asked. In short, representativeness can hardly be a relevant concern here, and instead of providing confidence intervals, it is wiser to accept from the start the limitations of this sample, but to state these limitations clearly. It is therefore useful to start with a general profile of the sample.

Over 91 per cent of respondents were male; this probably still falls slightly short of the actual over-representation of men holding tenured professorship, since according to late 1998 figures, 175 professors out of a total of 2,585 (6.8%) were women[15].

Table 4.1 Distribution of sample across universities

University	Group A	B	C	TOTAL
Geneva	6	34	8	48
Lausanne	8	23	4	35
Neuchâtel	4	11	7	22
Fribourg	3	9	2	14
Berne	7	16	9	32
Basel	1	10	4	15
Zurich	4	26	14	44
Lucerne	2	3	1	6
St. Gallen	6	2	1	9
EPFL	1	9	1	11
ETHZ	4	13	1	18
n.r.	0	8	1	9
TOTAL	46	164	53	263
(in %)	(17.5%)	(62.4%)	(20.1%)	(100.0%)

TABLE 4.2 DISTRIBUTION OF SAMPLE ACROSS DISCIPLINES

Discipline	Group A	B	C	TOTAL	(in %)
Fundamental and natural sciences	8	34	7	69	(26.2)
Medicine	3	21	13	37	(14.1)
Engineering	1	15	2	18	(6.8)
Humanities (Letters)	5	23	7	35	(13.3)
Law	3	12	7	22	(8.4)
Social sciences	11	17	7	35	(13.3)
Education sciences	2	6	1	9	(3.4)
Theology	7	6	3	16	(6.1)
Other	6	10	6	22	(8.4)
TOTAL	46	164	53	263	(100.0)

The distribution of the sample also reveals no sharp departures from the actual structure of the target population. Generally, despite the fact that mailed self-administered questionnaires allow practically no control over the representativeness of the final sample, the resulting structure is an acceptable image of Swiss university professors.

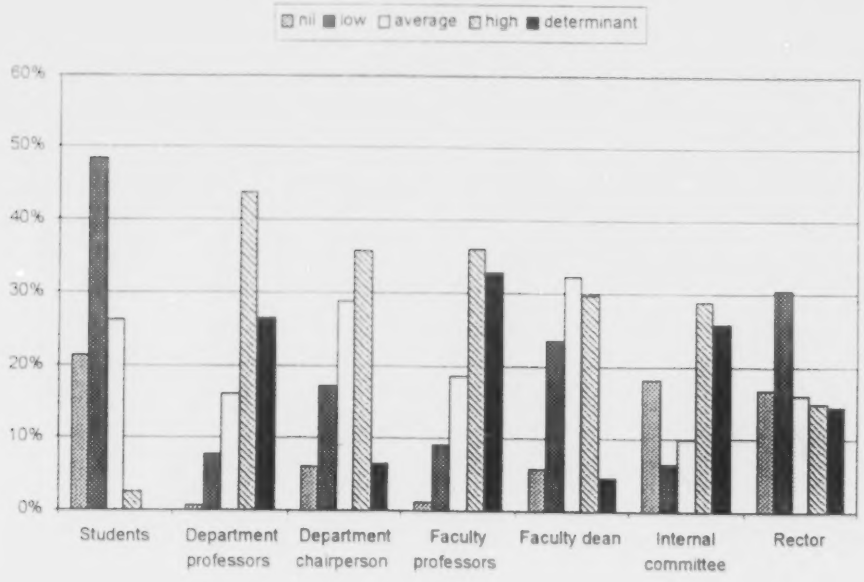
Let us now move on to their views on university governance[16].

[15] Figures supplied by the Federal statistical office.

4.3 Appointments to tenured professorships

The first set of questions focused on the procedure for appointments to tenured professor positions; respondents were asked to evaluate the *actual* (as opposed to *formal*) degree of influence of fifteen "actors" [A-1.1]. Not all of them are of equal relevance, and we only report results for eight of them, namely students, professors in the department in which the position is to be filled, the department chairperson, professors in the faculty to which the department is attached, the faculty dean, an internal committee (irrespective of its actual composition), the rector (or president), and political authorities—which, in most cases, means a five- or seven-member team that makes up the government of the canton in which the university is located (in the case of the Federal Institutes of Technology, the relevant authority is the federal government). Results are presented in the form of charts, in which, for space reasons, the distinction is not always made between our three categories of respondents[17].

FIG. 4.3 DEGREE OF INFLUENCE OF SELECTED ACTORS IN APPOINTMENT OF TENURED PROFESSORS



As shown in Fig. 4.3, 70% of all respondents concur that students exert a low influence or no influence at all on the decision-making process. Interestingly, it is respondents from category B (current or former deans and department chairpersons, that is, those

[16] For each topic, the corresponding question number in the questionnaire is indicated between square brackets.

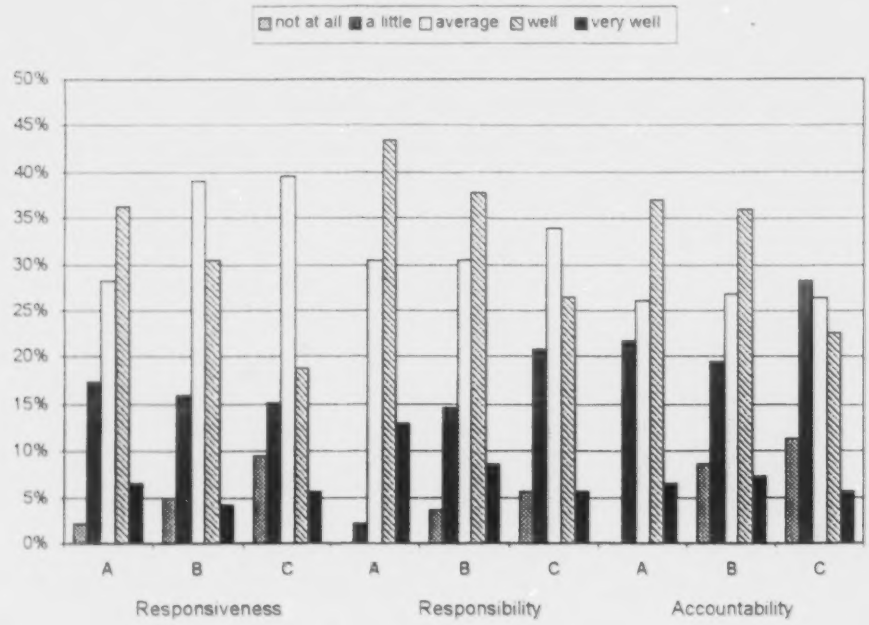
[17] However, the accompanying commentary often makes reference to these categories; let us therefore recall that category A is made up of professors who currently hold or have held a position at rectoral level; category B is made up of professors who hold or have held a position at an intermediate level in the university hierarchy; category C is made up of all the rest—namely, professors who have never held either type of office.

who are likely to be most constantly involved over the various stages of an appointment procedure) who are most outspoken in this respect. Only a quarter of respondents (in which category B is under-represented, and category A—rectors—slightly over-represented) assess students' influence as "average"; less than three per cent view this influence as "strong", but it is never considered a determinant one. It is also interesting to note that the influence of untenured research and teaching staff is barely higher: it is simply rated by most as "low to average" instead of "nil to low".

Summing the ratings for the top two levels of influence, we find that the real wielders of power are department professors (that is, an appointee's future colleagues), of whom over 70% of respondents said that they exerted determinant or high influence; they are closely followed by the professors of the faculty concerned, with a combined rating of 68,8%; by contrast, a department chairperson or faculty dean only rate 42% and 34% respectively. Appointment committees fall somewhere in between: those defined as internal are said by 29% of respondents to exert a strong influence, and by 26% to have determinant influence (summing these two percentages, 55%); committees bringing together persons from within and outside the university get a cumulated rating of 48%, where respondents are evenly split between those who consider them to have strong or determinant influence. Rectors have much less say: only 29% of respondents ascribe them strong or determinant influence. This is still a bit more than political authorities, where only 22% of respondents recognize their influence as a major one.

The picture that emerges is one in which professors are firmly in control of the choice of their peers. This, of course, raises the question of whether this allocation of roles can be seen as appropriate, in particular with respect to the three principles of governance placed at the center of this study; responses to this question are presented in Fig. 4.4 [A-1.2].

FIG. 4.4 APPOINTMENTS TO TENURED PROFESSORSHIPS: SYSTEM'S CAPACITY TO ENSURE RESPONSIVENESS, RESPONSIBILITY AND ACCOUNTABILITY



A. Respondents with present or former position at university-level management
B. Respondents with present or former position at faculty or department level management
C. Other respondents

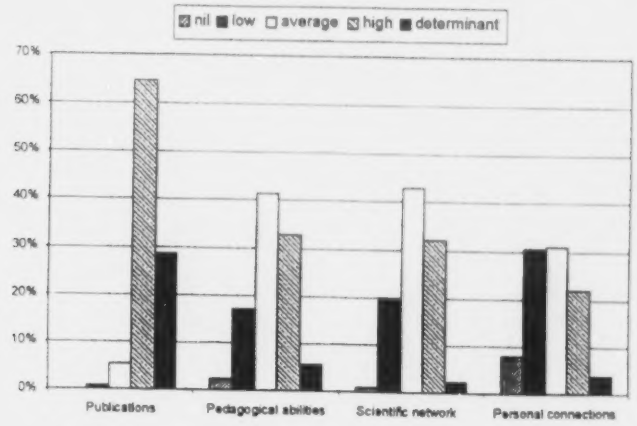
As regards **responsiveness**, that is, the system's ability to adapt to the requests, expectations and demands more or less explicitly formulated by society at large, the overall judgement is one of moderate satisfaction: only 22% of respondents view of current practices as "not at all" or only "a little" capable of ensuring responsiveness; 37% evaluate this capacity as "average", and 34% as "good" or "very good". No strong discrepancies appear between the evaluation of our three categories of respondents, although groups A and B (made up of people who are or have been in decision-making positions) seem more pleased with the system than members of group C, who are slightly more critical.

The evaluation is better when it comes to guaranteeing **responsibility**, that is, the university's capacity to resist to outside pressure (whether ideological artillery or mere fads) in order to keep asserting the university's special missions in society. Only 17% of respondents view the system's performance in this respect as poor, 31% consider it average, and just over 45% think it good or very good. There again, there are no major divergences of opinion between respondents, although group C, comprising people who do not and have not held mid- or top-level decision making positions in the university, are somewhat more critical.

However, not all respondents are so sanguine when it comes to assessing **accountability** (which is defined in the questionnaire by stressing transparency as its main component). Almost 30% regard the system as "not at all" or only "a little" capable of guaranteeing accountability; a little less than 27% consider the performance "average"; and just over 40% find it "good" or "very good". This bi-modality disappears if results are reported in terms of the five original ratings, where exactly a third of the total sample gives the system a "good" rating; however, we may interpret these figures are indicating the presence of an actual split among university professors in their views on the university's transparence—something that we could not detect in the case of responsiveness and responsibility. This suggests that accountability is an issue of particular relevance; we shall return to this point later.

We also examined, as distinct from the allocation of influence in appointment decisions, the role of different selection criteria [A-2.1]. Results are presented in Fig. 4.5.

FIG. 4.5 SELECTION CRITERIA FOR TENURED PROFESSORS



Publications are unanimously recognized as a selection criterion of "strong" (64.7%) or even "determinant" (28.5%) influence. Pedagogical abilities are considered important; although only 5.7% of respondents view them as playing a "determinant" influence, 32.7% think this influence "strong", and 41% "average". No manifest difference of opinion between respondents from different categories emerge. Our figures (not shown on the chart) also indicate that stays at foreign universities are viewed quite unanimously as a selection criterion with "average" (35%) or "strong" (45%) importance. However, candidates experience in management (for example, of a research center, of research teams, or of some other educational institution) is considered by 29% of respondents as being a criterion of "average" importance, while over 63% recognize that such abilities play a weak or zero part in the selection of candidates!

An applicant's scientific network—that is, the density and frequency of his or her scientific connections, as may be evidenced by a record of joint research projects with colleagues, the capacity to attract research funds, the occurrence of co-authorship in one's list of publications, etc.—could be expected to be a very important selection criterion, if not to the same extent, then at least in the same general way as publications. As it turns out, respondents ascribe a much lower importance to this factor. Only 34% view it as a "strong" or "determinant" criterion in an appointment procedure; the bulk view it as having "average" importance (43%), and over 20% thinks it has no or almost no importance. No major difference between categories of respondents can be detected.

Finally, the very delicate question of "personal support" was asked; through this question, we were aiming at the role of typically non-transparent procedures, which (as opposed to the previously listed criteria, all of which correspond to a priori justified concerns of the university) may include the unofficial phone calls made by some actors in the system (for example, more influential professors) on behalf of one particular candidate. Over a quarter of the sample confessed that such practices could play a "strong" or "determinant" role in an appointment procedure; 31% ascribed it "average" importance; and 38% thought it had no importance.

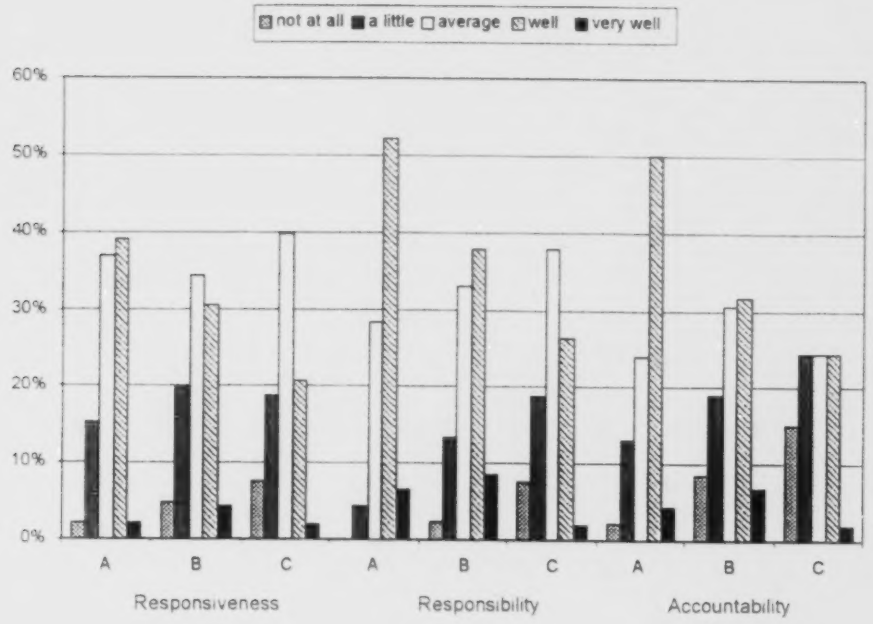
One additional question asked whether the relative importance of selection criteria was stable (suggesting clear "rules of the game", as should in principle be the case), or whether it was liable to change from one case to the next [A-2.3]. Over 50% of respondents admitted that such change was possible. Interestingly, a majority of category A respondents (rectors, vice-rectors, university presidents, etc.) gave a negative answer, while the other two groups thought otherwise. The contrast is particularly sharp with category C respondents, among whom less than a third think that selection criteria are stable. This result, of course, raises serious questions in terms of principles of governance in the actual practice of universities—particularly in terms of accountability.

There again, we asked respondents if the relative importance of these selection criteria, in actual practice, allowed the university to apply principles of responsiveness, responsibility and accountability [A-2.3]. The answer is nuanced, as shown in Fig. 4.6.

Just over a third of the sample views selection criteria as enabling the system to respond "well" or "very well" to society's expectations, that is, to be **responsive**; another third thought the system merely "average" in this respect; and a little over a fourth thought the performance decidedly poor (the rest is made up of "don't know" or "no reply"). There are no major differences between respondent categories, although

professors not holding or never having held decision-making posts in the university hierarchy tend to be more critical, while rectors tend to be most pleased. It should be noted that it can be particularly difficult to evaluate, from *inside* the system, its responsiveness to the outside, which may in part explain the discrepancy between respective perceptions.

FIG. 4.6 ROLE OF SELECTION CRITERIA: SYSTEM'S CAPACITY TO ENSURE RESPONSIVENESS, RESPONSIBILITY AND ACCOUNTABILITY



As was the case earlier, the system gets a better rating with respect to its capacity to be **responsible**, and to reassert the university's duties and specific missions in society. 45% of respondents view its performance as "good" or "very good", 33% as "average", and 16% as "low" or "nil". Clearly, responsibility is not, at present, perceived as the weak spot in the system; however, some divergence of opinion between categories can be observed. Among category C (non-holders of office in the university hierarchy), only 28% are pleased with the performance, and more than a quarter find it "poor" or "nil", whereas almost 57% of rectors and presidents appear pleased with the university's capacity to resist pressures, and a mere 2 out of 46 individuals consider this capacity to be "low".

Again, the system receives its lowest ratings with respect to **accountability**. Although 39% of respondents view its performance as "good" or "very good", 28% consider it "average", and another 28% "low" or "average". However, these overall assessments reflect the opinion of category B, that is, current or former department chairpersons or faculty deans. By contrast, 54% of rectors consider the relative importance of selection criteria, in practice, to deliver accountability "well" or "very well"; among professors in category C, only 26% thought the system performs well or very well, and 40% consider its capacity to guarantee transparency to be low or nil.

Two general patterns can be noted on the basis of the foregoing examination.

First, the university's capacity to deliver responsibility and, to a lesser extent, responsiveness, is certainly inadequate, but not abysmal; by contrast, its ratings in terms of accountability is poor; accountability therefore emerges as a priority issue in future reforms. Second, the higher up in the university hierarchy, the more pleased respondents are; conversely, professors who do not and have not held decision-making posts in this hierarchy tend to be consistently more critical.

4.4 Allocation of budget resources[18]

Our set of questions regarding the procedures for budget allocation within the university, being of a more technical nature, has given rise to less divergence of opinion between categories of respondents. These questions address, in turn:

- The degree of influence of various actors on the allocation of budget resources between units (faculties, or, in the case of the Federal Institutes of Technology, between departments) through the university's operational budget [C-1.1 in the questionnaire];
- The criteria applied when deciding between possible allocations of resources between units [C-2.1];
- The actual budgeting techniques used regarding current expenditures, small-scale investments and salaries of teaching staff [C-3.1];
- The budget instruments used to facilitate the creation or the termination of specific activities (for example, the creation of new courses or the termination of some curricula) [C-4.1];
- The degree of actual autonomy of the university *vis-à-vis* political authorities [C-5.1];
- For all the above questions, an assessment of the current arrangement's capacity to guarantee responsiveness, responsibility and accountability in university governance is also asked [C-1.2, C-2.2, C-3.2, C-4.2 and C-5.2];
- Suggestions regarding desirable increases or decreases to the degree of influence that each type of actor should be granted in decision-making processes, with a view to guarantee responsiveness, responsibility and accountability [C-6.1].

For the most part, presumably owing to the more technical nature of these questions, there was a higher non-response rate (if only because some respondents may not be aware of the procedures in force in their institution regarding budget matters). We shall therefore confine ourselves to a discussion of three of these issues: the relative degree of influence of different groups of actors in budget allocation (but not the overall setting of the budget) for current expenditure and small investments [C-1.1], referred to below in shorthand as "allocation of budget"; the relative importance of criteria used in this allocation procedure, along with respondents' judgement on the appropriateness of these criteria for ensuring responsiveness, responsibility and accountability [C-2.1 and C-2.2]; and their judgement on the adequacy of current arrangements regarding the overall autonomy of their institution in terms of guaranteeing that these three principles (including in non-budget matters) are respected [C-5.2].

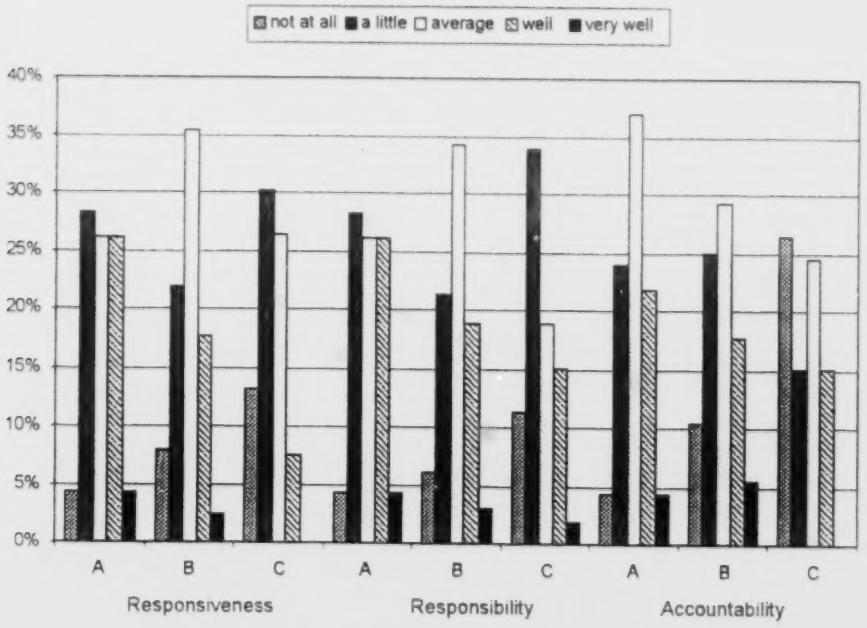
The first set of questions replicates those asked before with respect to other acts of governance: they review the respective influence of different groups of actors, this time on the **definition and adoption of an operational budget**, which amounts to a decision regarding its **allocation.** An overwhelming majority of those polled (90%)

[18] One full section of the original study is devoted to the creation of interdisciplinary programs and degrees. This section is omitted here for space reasons.

concur that students' influence is weak or nil, and almost as many (83%) say this is also true of junior (untenured) research and teaching staff. By contrast with other acts of governance, this is an area in which professors have (in their professorial capacity) relatively little say: their influence is considered "low" or "nil" by 43% of respondents (in the case of department professors) and 36% of respondents (in the case of faculty professors). Department chairpersons' influence is also rated as weak or nil by 36% of respondents. The dean has more say; his or her influence is rated as "determinant" or "major" by 42% of respondents. However, for most of them, the real power is in the hands of the rector or president: 40% of them consider his influence to be "strong", and 25%, to be "determinant"—hence, the figure to be compared with those mentioned in the case of other actors is 65%. In the view of most respondents, the state only exerts limited direct control, in the sense that the influence of authorities is rated as "strong" or "determinant" by 35% of them, whereas 39% consider the influence of the state to be "low" or "nil".

Fig. 4.7 reports on respondents' evaluation of the appropriateness of the current distribution of influence in terms of ensuring responsiveness, responsibility and accountability.

FIG. 4.7 ALLOCATION OF BUDGET



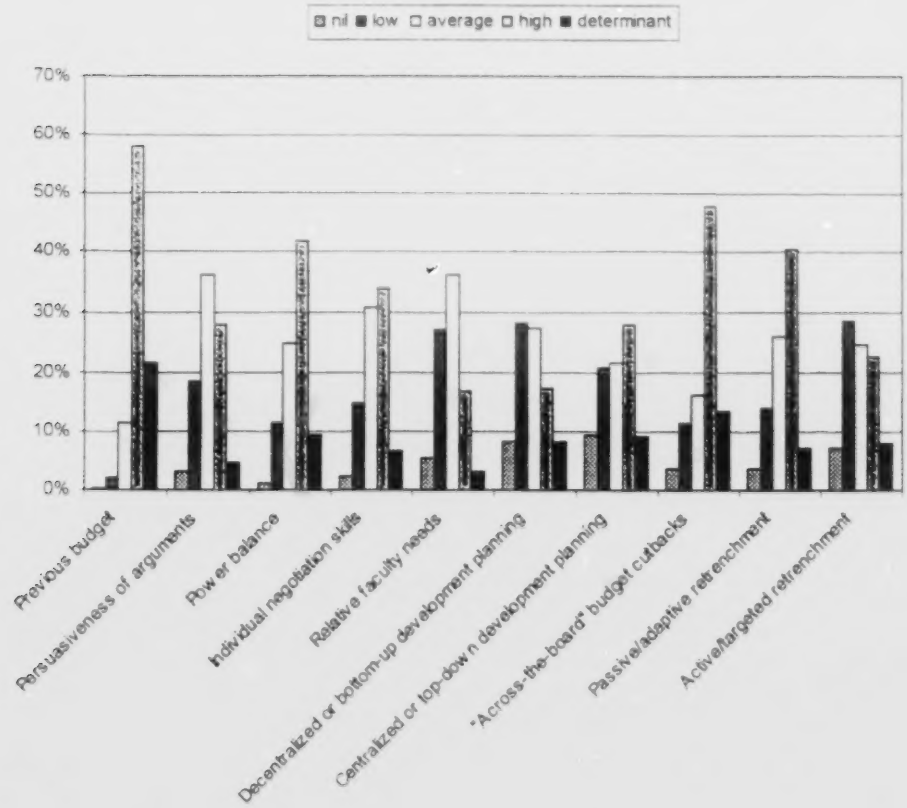
As regards the capacity to guarantee **responsiveness**, only 19% of respondents consider that this allocation of influence is satisfactory, while 33% view it as little capable or not capable at all of doing so. On this count, a strong discrepancy can be observed between rectors or former rectors, who are less critical, and professors of category C (who do not manage a faculty or department), where only 4 respondents out of 53 consider the system appropriate.

As always, the system's capacity to guarantee **responsibility** is evaluated slightly more positively, but the overall ratings are not markedly different; ratings regarding the

capacity to be **accountable** are marginally worse. On both items, however, respondents of category C are much more critical of the system's performance.

Moving on to the issue of the criteria used for allocating resources (Fig. 4.8), we note that 80% of respondents consider the budget of the previous year to be a strong or determinant factor in explaining the allocation adopted for the current year, without notable difference between respondent categories. The persuasiveness of arguments put forward to justify a particular distribution, however, seems to be much less important, since less than a third of respondents view this as a strong or determinant factor; as it turns out, one factor deserving this rating, for 52% of respondents, is "power balance": some players are more influential than others, and it is striking that 29 out of 46 rectors or former rectors acknowledge the role of this factor. A clear majority of the members of this same group also considers the personal negotiating skills of heads of units (faculties, departments, etc.) as factors having a strong or determinant influence, whereas only a little over a third of the two other categories of respondents think so; this suggests that, from their pivotal position, rectors hold a fairly different view of how money is allocated—incidentally, it suggests that other members of the university community, if they wish to orient budget decisions in a direction they regard as advisable, would do well to hone their negotiating skills.

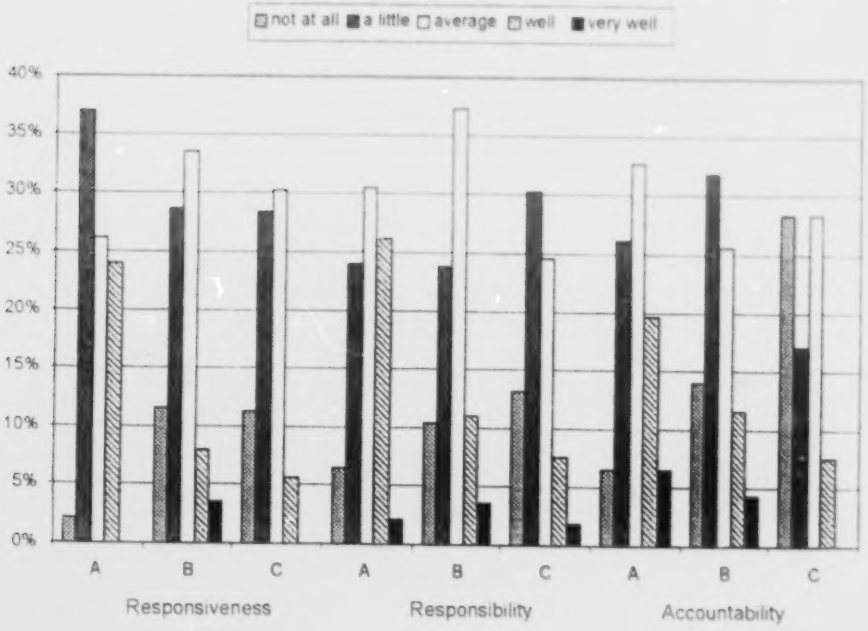
FIG. 4.8 ALLOCATION OF BUDGET RESSOURCES AMONG UNITS: IMPORTANCE OF SELECTED CRITERIA



By contrast, the actual needs of different units within the university appear to represent a much less relevant factor; only about a quarter of rectors (and 20% of the total sample) see them as having a strong or determinant role in the decision. Long-term strategic planning carried out by the institution as a whole is also seen as a secondary determinant of expenditure patterns (about 37% of respondents consider this as a factor with weak or zero influence, and 26% as having strong or determinant influence); however, centralized strategic planning carried out at rectoral level is recognized as somewhat more important, though not by much. On this particular point, a sharp contrast emerges between rectors (22 out of 46, that is, almost half, think their role strong or determinant; but only a quarter of rank-and-file professors see things the same way).

Budget cutbacks in lean times can be adopted according to very different criteria. About three fifths of the sample assign a strong or determinant influence to "across-the-board" budget cutbacks disregarding actual needs; faculty deans and department chairpersons seem particularly critical in this respect; for almost half of respondents, the distribution of cutbacks is strongly, or in a determinant way, the result of a passive (or adaptive) response to events with a financial incidence (the case in point being the normal retirement of professors, which frees up financial resources). Finally, the distribution of cutbacks may reflect a targeted retrenchment plan, and almost half of rectors or former rectors consider it as a strong or even determinant influence in the decision made; but barely more than a fourth of rank-and-file professors believe this—category B respondents falling somewhere in between.

FIG. 4.9 ALLOCATION OF BUDGET RESSOURCES: SYSTEM'S CAPACITY TO ENSURE RESPONSIVENESS, RESPONSIBILITY AND ACCOUNTABILITY



In Fig. 4.9, we present respondents' evaluation of whether the current import of those criteria allows the university to operate according to the principles of responsiveness, responsibility and accountability.

Almost 40% of respondents consider the relative importance currently given to these criteria, in the actual functioning of their institution, to be little able, or completely unable, to ensure **responsiveness**; far fewer (about 22%) consider the arrangement to perform "well" or "very well" in this respect; again, rank-and-file professors are particularly critical (only 3 out of 53 answered "well", not a single one "very well"); at the same time, 16% of the total sample did not know, or declined to answer this question).

The system's capacity to demonstrate **responsibility** gets a better rating (16% of respondents describing its performance in this respect with the terms "well" or "very well"), albeit with the usual strong contrast between category A (with more than a quarter agreeing with this good evaluations) and category C (with only 5 respondents out of 53 doing the same).

All three categories of respondents are dissatisfied with the system's capacity to be **accountable**: overall, 16% think it performs "well" or "very well" in this respect, while more than twice as many (43%) think it performs "poorly" or "not at all"; as in most cases, respondents from category A are least critical, while respondents from category C are particularly dismissive in their evaluation.

Generally, the procedures that determine (at least informally) budget allocation decisions are evaluated rather critically, with only lukewarm support from those (rectors and former rectors) who wield more influence in this respect. We find only limited evidence to the effect that rules and procedures for budget allocation are recognized as appropriate methods to engineer change in higher education institutions. This opens up a whole range of questions pertaining to the type of innovations that could be introduced in order to move from reactive budget allocation techniques (which many respondents criticize for their short-termism and for their vulnerability to power-play) to more targeted ones, in which budget decisions, in addition to favoring appropriate allocation of resources in terms of responsiveness and responsibility, would also become an instrument of accountability.

The last set of results in this chapter concerns respondents' overall evaluation of the degree of institutional autonomy of the system, particularly in terms of its capacity to deliver responsiveness, responsibility and accountability. The issue of autonomy is an important one in Swiss higher education, which is currently moving away from an essentially state-controlled system to one made up of universities operating as more independent legal entities—with corresponding decisional autonomy in the management of universities. Some universities (e.g., Basel), have already gone much further in this direction.

Five criteria have been used in our questionnaire to characterize a university's degree of autonomy[19]: its formal legal status; the university's leeway to set professors' salaries (and possibly to differentiate between them); the management of the university's buildings (which can belong to the state and be designated, by the latter, for use by the university, or be owned by the university); the extent to which the university budget is integrated in the state budget (normally, the corresponding *cantonal* budget) or completely separate from it; and the frequency of direct intervention by government

[19] This question has more relevance for cantonal universities, since the Federal Institutes of Technology are regulated by a common federal Act.

(e.g., local education ministers) in the governance of the university. Ratings were given on a five-point scale. As indicated in the preceding chapter, universities can differ considerably from each other on any of these points.

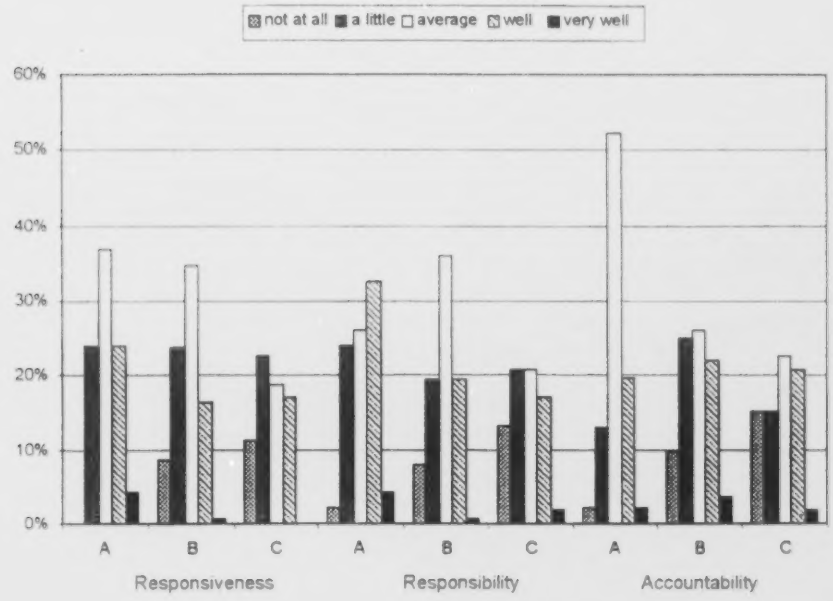
Generally, respondents from category A view the university as much more autonomous from state authorities than the rest of professors do (over half of the former group gives their institution a rating of 4 or 5 on a five-point autonomy scale; less than a third of the two other groups do so); for 80% of respondents, universities have no leeway in wage-setting; and for about half of them, it has little autonomy (ratings of 1 or 2 on a five-point scale) regarding the management of buildings. The evaluation falls in the same range (again, without significant inter-category contrasts) when it comes to the degree of budgetary autonomy: a little over half of all respondents consider this degree low or nil, while less than 20% consider it high, and approximately the same proportion gives it 3 points on the five-point scale. Finally, respondents had fairly similar views on the extent of state intervention in the running of the university, with about 40% considering it as rare or exceptional; and under 30% as frequent; modest differences between groups of respondents can be detected, with a larger proportion of category B (and, even more so, category A) respondents assigning it a mid-range value of 3 on the five-point scale; by contrast, professors from category C tend to have more definite views, but they are, interestingly, fairly evenly split between those who think the state intervenes frequently (17 respondents out of 53) or rarely (22 respondents).

In Fig. 4.10, we report respondents' view of the existing arrangements in terms of its capacity to ensure responsiveness, responsibility and accountability in university governance.

For 19% of respondents, **responsiveness** is served "well" or "very well" under the existing system prevailing in their university; 31% consider it perform "poorly" or "not at all"; as often before, rectors are least critical, and rank-and-file professors most critical of the current situation. The overall evaluation is better with respect to **responsibility**, with 23% of respondents giving the arrangement a "well" or "very well" rating (where the proportion of rectors giving this positive assessment is twice that of professors from category C); nonetheless, more than 28% of all respondents thinks the system performs "poorly" or "not at all".

Interestingly, the answers of the three categories of respondents are remarkably similar with respect to the **accountability** that the current arrangement allows; one third of the sample considers the performance "average", one third thinks the arrangement works "well" or "very well", and one third, "poorly" or "not at all".

FIG. 4.10 DEGREE OF INSTITUTIONAL AUTONOMY: SYSTEM'S CAPACITY TO ENSURE RESPONSIVENESS, RESPONSIBILITY AND ACCOUNTABILITY



CHAPTER 5

COMPARATIVE PERSPECTIVE AND CONCLUDING REMARKS

5.1 Summary of results on higher education in Switzerland[20]

This report on the role of responsiveness, responsibility and accountability in the governance of the Swiss higher education system suggests that the record of universities in terms of these principles is somewhat patchy.

Our analysis of university governance starts with a list of the main challenges currently confronting higher education in general ; these challenges are also relevant for the Swiss education system. We have first tried to show that the corresponding problems of university governance can be usefully approached through the concepts of responsiveness, responsibility and accountability. These are described as *principles*, as distinct from the *functions* that a university must perform to fulfill its *missions*. More specifically, responsiveness and responsibility are principles that can point to opposite decisions, and combining them appropriately requires the university to operate according to the principle of accountability. In this study, "accountability" is defined as "targeted" transparency, in that the beneficiaries of this accountability (the government, taxpayers, students, the public at large) must be identified, and that this transparency must, in particular, allow for checking that the university is transparent and *plays by certain rules*. These rules are, in essence, made up of socially legitimized criteria for decision-making.

Chapter 2 presents some elements of our methodology, and defines the set of concepts developed for this study ("elements of structure"; "acts of governance"; etc.). We then describe the way in which data have been gathered and processed, using first information from legal texts, and then information collected through a questionnaire survey with a sample of professors in Swiss universities.

Chapter 3 provides an interpretative overview of the formal distribution of decision-making power in Swiss universities, focusing in particular on the evolution in the allocation of this decision-making power resulting from the latest round of reforms (since over the 90s, all Swiss universities have been through more or less extensive changes enshrined in legislation). Results indicate, in addition to the already well-known heterogeneity of the Swiss higher education system, the still central role of professors, and the correspondingly weaker role (in relative terms) of three other categories of stakeholders, namely, the state, civil society, and students. A separate section on university rectors has confirmed that this latter group has made gains in decision-making power through the latest round of reforms, but that these gains are not major ones. The Swiss university system remains characterized by "shared governance", in which decision-making power is distributed over different groups of internal players. It is important to stress, however, that because of the very fragmented structure of the Swiss higher education system, the distribution of power and influence among players is extremely case-dependent and that general trends can hide very diverse realities.

In Chapter 4, we present a selection of results from the questionnaire survey, focusing on two "acts of governance", namely, appointments to tenured professorships and

[20] As pointed out before, a more extensive discussion of the concepts used in the study, as well as a larger selection of results, are available in Grin, F., Harayama, Y. and Weber, L., 2000.

procedures for the allocation of budget resources. In addition to ascertaining who, in practice (as distinct from the theory laid out in legal texts) holds decision-making power, the questionnaire aims at eliciting information about respondents' evaluation of the performance of the system in terms of responsiveness, responsibility and accountability. Our results show that the system has a disappointing record with respect to responsibility and a not much better one with respect to responsiveness; however, it largely fails in terms of accountability, indicating that there is much progress to be made for the system to be transparent and to actually "play by the rules". We consistently get different evaluations of the performance of the system depending on the category of respondents (though all of them are tenured professors): by and large, rectors and former rectors are much less critical of the system than "rank-and-file" professors, that is, respondents who do not hold (and have not held in the past) a hierarchical position such as that of Faculty dean or Department chairperson. Deans and chairpersons usually evaluate the system more favorably than other professors, but less so than rectors. These contrasting views reflect the different individual responsibilities and experience of distinct groups of respondents; incidentally, they provide further illustration of the fact that university governance is a task of daunting complexity.

5.2 A comparative perspective

In keeping with the general design of the Six-Nation Education Research Project (SNERP), each of the six participating countries (USA, Germany, Switzerland, Singapore, the People's Republic of China, and Japan) takes the lead for research on one topic, and invites other countries to join in, in order to facilitate cross-fertilization between country-specific questions and to generate comparative results[21].

Japan had proposed the topic of *higher education* to the SNERP and accordingly taken the lead on SNERP research in this field; the countries that subsequently decided to join are Switzerland and the United States. Hence, the countries with which the Swiss case is being compared are Japan and the USA, on the basis of the reports produced by these countries (University of Pennsylvania, 2000; Hiroshima University, 2000) under the SNERP, and of discussions that have taken place at a seminar hosted by University of Tsukuba on February 24-25, 2000.

The concerns of the three participating countries are, of course, different, and they reflect not just the country-specific urgency of different challenges confronting higher education, but also the country-specific university cultures and framework conditions.

The main issues raised in the Japanese study are the following. First, there is major outside pressure, whether from the government or from business, for universities to reform, and in particular to demonstrate more international openness, and to develop resource allocation procedures (both among and within universities) in which market-like mechanisms are put to use. These pressures translate into evaluation exercises, which have revealed that private universities are slower than national ones to react—possibly because, owing to their financial and administrative independence, private universities have more room to set their own agenda and priorities. It has been noted that the reform process itself requires significant material and human resources, sometimes exceeding the resources currently available.

As regards the USA, responsiveness to market pressures is a longstanding tradition. This of course applies directly to private universities, but public institutions are not immune from outside pressures, and these are made very palpable through budget cuts.

[21] On the general design of the SNERP, see e.g.. Grin, 1997.

Generally, the notion of "accountability" (which, in the context of the USA, appears to mean mostly "responsiveness" in terms of the "principles" used in the Swiss study[22]), enjoys considerable popularity. Accountability can be demonstrated towards "primary customers" (students and their parents) as well as "secondary customers" (authorities and employers on the labor market). A clear majority of institutions report the existence of formal plans to increase accountability so defined, particularly towards government and regulatory agencies and students.

The international comparison between the evolution of governance structures and procedures can be summarized as follows:

The *role of government* is typically high in Japan (which has a strong Ministry of Education), somewhat lower in Switzerland (where, as we have seen, education is decentralized, but local (cantonal) governments play an important role) and, in general, lower still in the USA, where authorities have traditionally maintained a hands-off approach to higher education.

The influence of government is declining in Japan, particularly as regards regulation, planning, coordination and general funding, but it is increasing with respect to targeted funding; the government also exerts rising influence on universities through assessment exercises, which reinforce competition between institutions.

This pattern is quite different from the Swiss one, where the role of the authorities, which declines somewhat in terms of funding (with the relative share of other sources of funding being expected to increase). However, their role increases in the sense that authorities are taking steps to alter the playing field, in order to induce universities to be more competitive and to plan their development in a coordinated, mutually complementary perspective.

As regards the USA, the role of government authorities is declining in certain aspects of university governance (general funding, planning and coordination – which is being shifted from the federal to the state level), but rising in others: public universities tend to be more precisely regulated, targeted funding is on the rise, competition is being encouraged, and assessment exercises more important.

An equally contrasted pattern emerges with respect to the *role of different bodies in university institutions*, and it is most easily represented through a table (Table 5.1).

One general feature emerging from this comparison is that Japan and, to some extent, Switzerland, are clearly reforming, in the sense that hitherto "strong" bodies can see their influence erode, whereas bodies that had comparatively limited influence are seeing their role increase. By contrast, reform in the USA does not amount to a sweeping change in orientation, nor in new priorities. Rather, they largely reveal a "deepening" of the current inner logic of the system, with strong players reinforcing their influence, and secondary players being further sidelined.

[22] In the US report, "accountability refers to the extent to which a college or university considers itself answerable to the needs and expectations of its various stakeholders" (University of Pennsylvania, 2000: 2).

TABLE 5.1 IMPORTANCE OF ELEMENTS OF STRUCTURE IN UNIVERSITY GOVERNANCE

	Japan*				CH		US	
	National & public		Private					
	Score	Trend	Score	Trend	Score	Trend	Score	Trend
Boards	NA		H	↓	Nil	↑	H	↑
President/Rector	L	↑	H	↑	M	↑	H	↑
Deans	L	↑	L	↑	M	↓	H	↑
Departments	L	↔	H	↓	M	↔	M	↓
Faculty Governance Bodies	H	↓	L	↔	L	↓	L	↓
Professors	H	↓	M	↓	M-H	↔	M	↑
General representative body	NA		NA		L	↓	L	↓
Education Ministry	H	↓**	M	↔	M-L	↓	L	↓

Influence level: H: high; M: medium; L: low; O: none; NA: not applicable.
Influence change: 1: rising; 0: unchanged; -1: declining.

** Distinction between "national & public" and "private" applies to Japan only.(the public sector includes municipal universities and prefectural universities)*
*** Direct control is declining and being replaced by an incentive mechanism.*

As regards *budgetary matters*, there are significant differences between the three countries. Whereas a significant part of the financial resources of Swiss universities continues to be in the form of line-item budgets (although this practice is undergoing rapid change), block grants represent a more important part of funding for institutions in the USA and in Japan, where the institutional budget allocation process also is less centralized than in Switzerland. However, two features hold in all three countries: first, previous budgets largely determine current ones (there is a certain stickiness of expenditure which prevents swift reallocation of resources); accordingly, strategic development considerations only exert a limited influence on budget allocation.

Given these sharp differences between countries, with respect to both their current position and their evolution, what are the commonalities, if any, that can be identified on the general plane of university governance in a time of change?

In general, as we have seen, many of the challenges that higher education has to deal with are the same. Universities are expected to cater to an increasing clientele with diversifying needs and backgrounds, to offer a broader range of educational products, to keep up with technological development in both teaching and research, to reexamine its role in society, to be more open to outside scrutiny, to face competition from other providers of teaching (not to mention analytical and consulting expertise), to maintain its independence while at the same time acquiring more funding from non-government sources, and generally to do "more with less".

Adaptation to change also presents some common features across the three countries considered. Six general traits seem to hold, namely:

[1] a significantly stronger role for university rectors or presidents, amounting to a centralization of power *within* the institutions

[2] a decline in the role of some "historical" bodies within universities, such as "Senates" or other bodies bringing together all the professors of a university;

[3] a declining influence of the authorities in budget matters, but stepped up government intervention regarding the framework conditions, in order to modify the general context in which higher education operates; this implies using incentive mechanisms;

[4] a more frequent resort to evaluations, whether internal or external, and whether these are mandated by the authorities or undertaken of the own free will of the institution;

[5] a general effort to increase the share of private funding to support university operations;

[6] a shift in the explicit or tacit rules about the respective positioning of universities, which results in a sharper competition between them and, more generally, an increasing reliance on market or market-like signals to orient decisions;

5.3 The future of research on university governance

In the light of the complexity of university governance as an object of study, and of the extreme variability of actual approaches to the practice of university governance—both between and within countries—there is little doubt that a sustained research effort in this area is a necessity. Although a growing amount of literature is available, the difficulties of university governance are such that stakeholders may still be insufficiently equipped to face current challenges.

This applies to different categories of social and institutional actors holding different stakes in higher education.

The general public, as well as its elected representatives in public office, does not appear to have access to a adequate information (particularly in a form such that this information can be easily processed) on the issues confronting higher education. It makes it all the more difficult for society at large to express its preferences and to clearly voice its expectations *vis-à-vis* higher education; this fact may, to some extent, contribute to explaining the increase in the overall pressure for introducing and institutionalizing assessment procedures. Of course, one might argue that market mechanisms provide a conduit through which preferences can manifest themselves, and thereby help to orient the course of action of universities. However, even if this may apply to some acts of governance, such as the range of courses offered (which can be made more responsive to apparent demand), it is clearly insufficient with respect to the internal organization of universities, particularly the need to be responsible and the need to be accountable. Responsibility may be described as the capacity to be responsive twenty years from now; mere adaptation to short-term demand cannot guarantee this capacity. As regards accountability, it is predicated on the assumption that university governance plays by certain rules. Available evidence suggests that these rules can be muddled or confusing, leaving ample (and probably excessive) room for power play in which well-placed individual actors can exert undue influence.

Within the university itself, the actors in charge of governing the institution (particularly rectors and presidents) do have access to most of the information required (even though the information that eventually reaches them may have been inappropriately filtered at various stages, thereby hampering their capacity to assess precisely the

stronger and weaker points of their respective institutions). However, the demands placed upon them are such that it is far from certain that they have the necessary support (particularly resources for strategic analysis) to deal with them. In the context of increasing competition between universities for access to private and public funding, strategic positioning in promising scientific niches, and absorption of fast-developing information technology, strategic decision-making for institutions often numbering thousands of employees constitutes, in itself, a challenge which is increasingly set to exceed in complexity those confronting the CEOs of major international corporations.

In order to meet the informational, analytical and strategic needs of very different types of shareholders, research is an incontrovertible necessity. We submit, however, that some directions of research may prove more effective in order to come to grips with the complexity of the questions involved. Precisely because of the variability of contexts and issues (or, more precisely, their extreme case-dependence), it is doubtful that any particular set of measures will have universal applicability. For example, arguing across the board for "more market" in university governance may suggest ways to solve *some* problems in *some* contexts. This may, in particular, enhance universities' responsiveness as defined in this report. However, "more market" is a recipe likely to fail in terms of responsibility, and there is insufficient evidence so far that it would greatly enhance universities' capacity to "play by accepted rules" (and to do so *verifiably*). Furthermore, what applies in a small, decentralized and multilingual country such as Switzerland may not be appropriate in a large and extremely homogeneous country (by international standards) such as Japan, and vice-versa.

It follows that the focus of our search for useful guidelines for university governance may have to be shifted. Instead of looking for the right *measures* (which it may be futile to try to identify), it may be wiser to look for appropriate *principles*. This would confirm the validity of an approach to university governance prioritizing principles such as responsiveness, responsibility and accountability. Of course, these three principles are, as such, open to debate, and they certainly lend themselves to further elaboration. Our goal in this study, however, is only to contribute to opening some avenues in this direction.

Finally, it is important for the debate on the futures of higher education, also with respect to responsiveness, responsibility and accountability, to be as open as possible. As noted above, it is exceedingly difficult for social actors, particularly those who are outside formal academic structures, to obtain the necessary information, to weigh the issues, and to form and express preferences concerning university governance. To this end, the development of permanent public fora on higher education (for example in the form of regularly convened *estates general*), could constitute a useful element for the development of an *open culture of university governance* in the 21st century.

This, of course, raises more general questions of democratic governance far exceeding issues of higher education. Nevertheless, if only because higher education is such a centrally important player in modern societies, and is so deeply intertwined with their evolution, such questions cannot be ignored.

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Part III

U. S. A.

A Report for the Higher Education Research Project
of the Six-Nation Education Research Project (SNERP)

Accountability and Market Responsiveness in the United States

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Introduction

Loosely defined but often-cited, accountability has become postsecondary education's newest mantra in the United States. Broadly conceived, a college or university is thought to be accountable to the extent that it purposely meets the needs and expectations of its stakeholders. When evoked in the public sphere, what often comes to mind first is an institution's responsiveness to a legislature's or governing board's calls for greater cost-consciousness, a better return on the public's investments, and better performance on outcomes the political process has deemed important: principally student retention, time to degree, and success in the labor market. For private institutions in the United States, those measures are also often applied—in addition to those gauging institution's responsiveness to the market in terms of programs offered, customer satisfaction, and realistic pricing.

Ask most U.S. college presidents, even their faculty, whether or not they see themselves as accountable, and the answer is likely to be, "Yes—and then some." Most critics would likely grant that baseline as well. The real issue in today's American educational arena, in which the push for responsiveness is continually increasing, is not whether an institution is accountable, but whether the institution has become *more* accountable—and, if so, to whom. Also in question is whether or not an institution defines accountability in terms of responsiveness to customers, be they students, parents, those who are likely to employ their graduates, or the public agencies directly concerned with the educational programs they offer.

New research from the Institute for Research on Higher Education (IRHE) at the University of Pennsylvania, completed as part of the Six Nation Education Research Project (SNERP), answers basic but important questions about trends in U.S. institutions' responsiveness to stakeholders both on and beyond their campuses: What are the characteristics of those institutions reporting *increased* accountability to their various consumers and stakeholders? Which institutional characteristics are associated with increased accountability and which are not?

This report represents the initial findings of the U.S. research team for SNERP's Higher Education Project, directed by Dr. Akira Arimoto of the Research Institute for Higher Education at Hiroshima University. It focuses principally on questions of accountability and market

responsiveness among U.S. institutions. The project's research strategy was derived from a pair of surveys initially drafted and administered by the SNERP Japanese team to all universities in Japan. The U.S. project converted those surveys to a pair of computer administered telephone instruments (CATI), which were subsequently administered to a sample population of U.S. colleges and universities. The interviews in the United States focused on when and why their institutions were becoming more accountable to their stakeholders on the one hand and to shifting market forces on the other. The CATI protocols were designed and administered by a team from IRHE.

The U.S. Survey

The sample population for the U.S. study was drawn from the 164 members of the Knight Higher Education Collaborative—a cooperative undertaking of colleges and universities to proactively adapt to changing external expectations, market realities, technologies, and economic pressures. These institutions work together to preserve the essential values of higher education by exercising control over how they change to fit current and future societal needs.

Following extensive field testing and refinement, the two surveys were administered via telephone during the summer of 1999. The first protocol (called Survey A, following the Japanese team's nomenclature) focused primarily on changes to governance and administrative structures. Survey A was administered principally to secretaries of the Board of Trustees or Regents or to executive assistants to the presidents of participating institutions. (See Appendix A for the full text of the instrument and the distribution of responses to each question.)

The second protocol, Survey B, which focused on changes to the institution's educational enterprise, was administered to chief academic officers, who typically hold the titles of "Provost" or "Vice President for Academic Affairs." (See Appendix B for the full text of the instrument and the distribution of responses to each question.) In all, 130 chief academic officers (80 percent) from Knight Collaborative institutions participated. The set of responding institutions represented the range of colleges and universities within both the public and private and the two- and four-year sectors of postsecondary education in the United States. The responding sample also represented each of the principal segments of the market for baccalaureate education.

The overall response rates for both Surveys A and B are presented in Table 1.

Table 1
Response Rates for U.S. Surveys A and B

	Survey A	Survey B
Completed Surveys	100	130
Total Knight Collaborative Panel (as of May 1999)	163	163
Completion Rate	61 percent	80 percent

Framing the Question

While Survey B investigates a variety of topics relevant to higher education institutions, most can be subsumed under the general category of "accountability." For the purposes of this report, accountability refers to the extent to which a college or university considers itself answerable to the needs and expectations of its various stakeholders. In analyzing responses to the survey, we focused on accountability both to public agencies and to the market as the consumers of higher education. A competitive market requires that colleges and universities behave in ways that increase the demand for their educational products and services. Similarly, public accountability involves increased responsiveness to the demands and concerns of public officials—demands and concerns that may or may not duplicate those of the consuming public.

Given this definition of accountability, two basic questions guided our analysis:

- What are the characteristics of those institutions reporting *increased* accountability to either their customers or to public agencies?

- What factors best explain why some institutions report increased accountability and others do not?

Central to our analysis are two assumptions made with respect to accountability in public and private higher education institutions. During the late 1980s and early 1990s, state legislatures began stepping up their oversight of public colleges and universities while at the same time enacting budget cuts. Increasingly, public colleges and universities were being asked to justify the public's investment of tax dollars in their institutional operations. They were expected to be more efficient with their funds and more accountable to the world outside their campus walls. Concerns raised by state legislators and governing board authorities included student learning, the preparation of graduates for the workforce, and teaching loads.

Different pressures affected the private sector—most notably, increased competition for students. Through the mid-1980s and into the 1990s, the declining birth rates of the post-baby-boom years (often called "Generation X") had translated into a diminished available pool of college-age students. Though marginally increasing rates of participation helped stem the decline in the numbers of college-age students, higher education institutions were not in a position to adapt to the market by shrinking the size of their incoming classes. On the other hand, parents anxious about their children's economic futures made a college education from a prestigious private college or university an increasingly important educational asset—one last contribution by parents before sending their children forth into what looked like an increasingly competitive as well as uncertain labor market. The demand side won this seemingly paradoxical push-pull in the demand and supply for college education. As a result, tuition prices at private institutions rose substantially to reflect the demand for their limited enrollment capacity.

Our dual operating assumptions are that public institutions, which reported an increase in their levels of accountability between 1994 and 1999, were responding to the needs of some of their most important stakeholders: the government agencies that fund them, and the students whom they educate. On the other hand, private institutions that increased their accountability did so in response to specific pressures most likely associated with calls to justify tuition, room, and board costs that were increasing substantially faster than the underlying rate of inflation.

Specifically, Survey B asked chief academic officers the following question to capture these dimensions of accountability:

> In the last five years, has your institution implemented a strategic plan to increase general accountability to any of the following constituents (students, parents, funding agencies, employers, local community, government/regulatory agencies, general public)?

Institutions could answer "yes" for as many stakeholder groups as applied. The responses to this question are displayed in Table 2. It is important to note that the question did not ask *how* accountable the institution had been in the past—just whether or not the institution currently felt *more* accountable to the particular group of stakeholders.

Table 2 Percentage of Private and Public Institutions Reporting Implementing a Strategic Plan to Increase General Accountability to Various Stakeholder Groups

Stakeholder Group	Percent Responding "Yes"	Percent Responding "No"
Government/Regulatory Agencies	74%	24%
Students	*74%*	*24%*
Funding Agencies	69%	30%
Local Community	67%	32%
General Public	66%	31%
Employers	61%	37%
Parents	*44%*	*53%*

Our analysis begins by answering the questions: What types of public institutions were most responsive, and why? What are the characteristics of private institutions that increased accountability when the market dictated they did not necessarily have to do so?

Two of the responses listed in Table 2 are particularly notable—almost 75 percent of responding institutions (both public and private) reported that they had taken steps to increase the level of accountability to students and to government agencies. These two groups are certainly among the most important stakeholders to whom institutions must answer. It is clear that, by reporting an increased level of accountability to students, institutions are responding to the market for their product. The sensitivity to government concerns reflects the increasing amount of state and federal government oversight of higher education in recent years.

To more effectively gauge the overall level of reported increases in accountability per institution, we developed three indices. The *Accountability Index* totals the affirmative responses to each part of the basic question tracking accountability, allowing for a maximum score of seven. The *Primary Customer Index* measures a reported increase in accountability to students and parents (italicized in Table 2). The *Secondary Customer Index* scales to three and measures reported increases in accountability to employers, funding agencies, and government agencies.

The Accountability Index

The Accountability Index divided institutions into three subsets—based on the total number of stakeholders to whom they reported increasing accountability—in order to provide a

more easily understandable analytic framework. The response groupings are: "zero response" (0 stakeholders); "medium response" (1 to 4 stakeholders); and "high response" (5 to 7 stakeholders). Figures 1 through 3 display the types of institutions most likely to have reported increasing accountability to the greatest number of constituents in the last five years. Specifically, they compare institutions according to:

- Relatively more or less net revenue earned per FTE[1] student[2,3];
- Higher or lower percentage of their freshman class graduating within five years;
- Higher or lower ratio of bachelor's degrees awarded to undergraduates enrolled (an ideal ratio would be approximately 25 percent);
- Institutional type (Carnegie classifications) and control; and
- Market taxonomy segment.

The results become more understandable when they are cast in terms of the three-segment market taxonomy developed by the Institute for Research on Higher Education (IRHE) to predict competitive prices and reflect the demand for enrollments in the higher education market. The IRHE market taxonomy yields a left-to-right ordering of institutions. At the left-end of the market continuum is the *name-brand segment*, which caters to "rite of passage" college students—18 to 22 year-olds, living in an on-campus residence, and graduating with their bachelor's degrees in four years. The right-end of the continuum contains the *user-friendly/convenience segment*, whose students are often outside the traditional age bracket, generally work full-time, attend classes part-time, and purchase those courses one at a time, often from more than one school. They are less concerned with traditional student services, and instead prefer such services as child-care, later class hours, and convenient parking. In between the two segments at the extreme of the market are the *core institutions*, which construct their missions to cater to a mix of student needs from both the right- and left-ends of the market.

Overall, More Public, Research/Doctoral, and Comprehensive Institutions Are Reporting Increased Accountability

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[1] FTE = Full-time equivalent student. FTE is computed here by adding to all full-time students a number equal to one-third of an institution's part-time students.

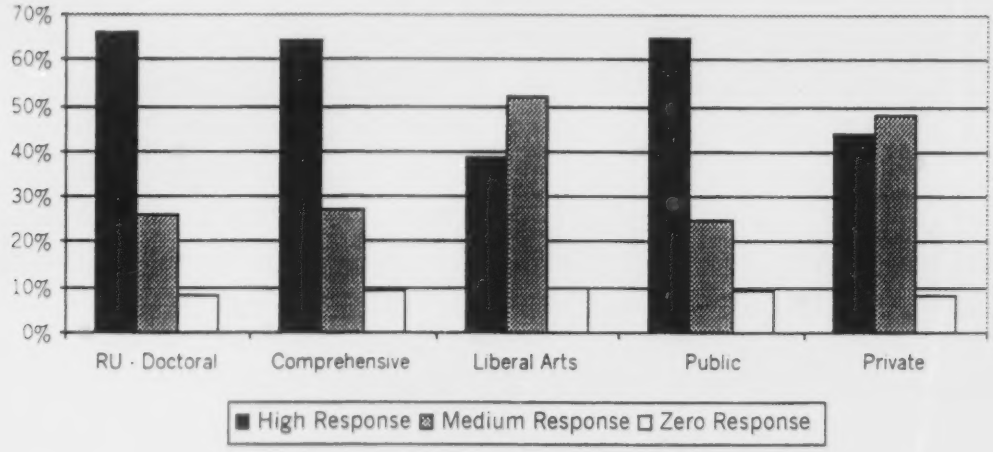
[2] Net revenue = (tuition revenue + endowment revenue + government appropriations) - institutional financial aid awarded.

[3] For these indices, "lower" or "higher" is relative to the median; that is, an institution is said to have a lower net revenue per FTE when the figure is below the overall median net revenue per FTE for the sample.

Figure 1 splits the sample into three Carnegie classification groupings: a combined Research/Doctoral Universities group, Comprehensive Institutions and Liberal Arts Colleges. A significantly higher percentage of research/doctoral and comprehensive institutions reported increasing accountability to more stakeholders—in fact, for these institutions, more than 60 percent reported implementing a formal plan to increase accountability for the highest number of stakeholders over the last five years. By comparison, the liberal arts colleges reported increased accountability to only a moderate number of stakeholders.

Figure 1 also splits the panel by control—between public and private institutions. While private institutions were more likely to report an increase in accountability to 1 to 4 stakeholders, more public institutions, by far, reported increased accountability to a larger number of stakeholders.

Figure 1
Overall Accountability According to Institutional Type



The Non-Traditional Market Is Also Reporting Increased Accountability

Using a set of institutional characteristics such as graduation rate, the ratio of degrees produced to enrolled students, and FTE, Figure 2 shows that the non-traditional market is reporting increased accountability. Those institutions with lower five-year graduation rates, with lower ratios of bachelor's degrees to total undergraduate enrollment, and with lower net revenues per student are more likely to report having increased accountability to the highest number of stakeholders.

Figure 2 Overall Accountability According to Various Institutional Characteristics

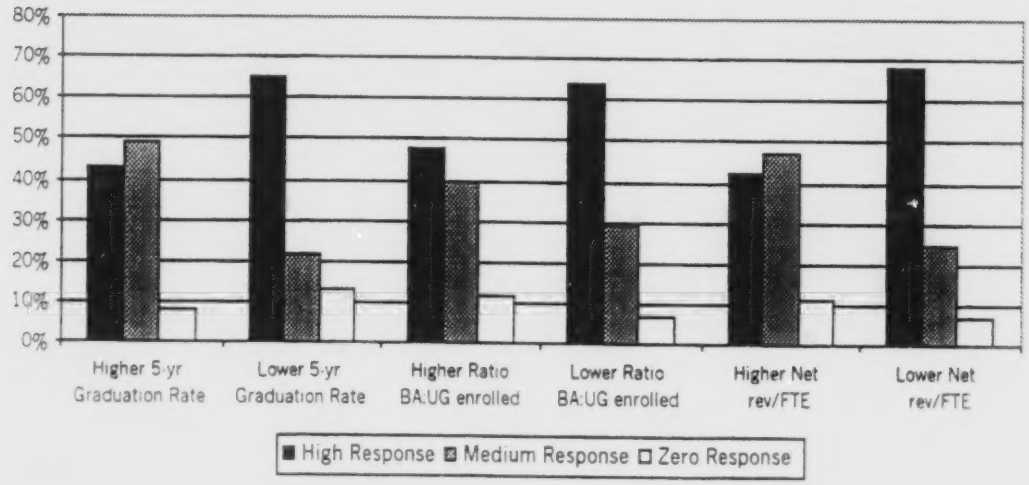
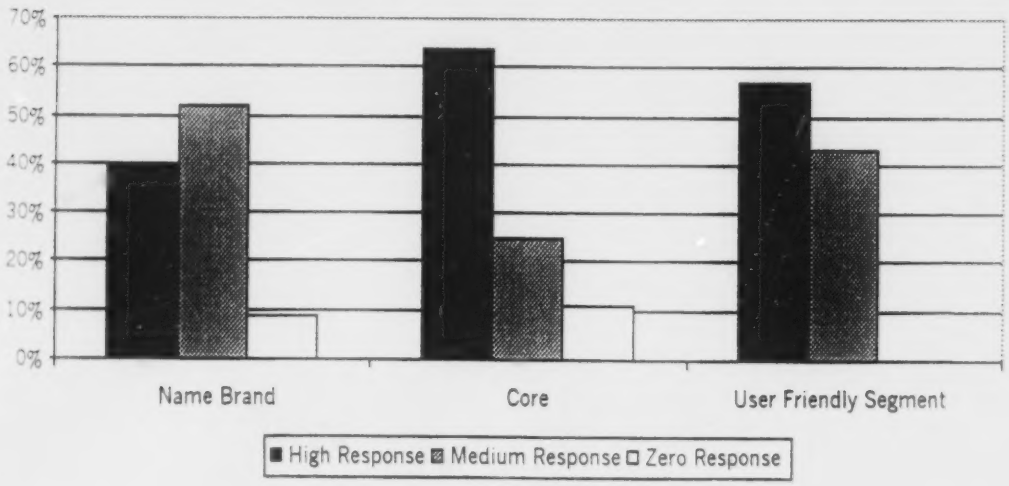


Figure 3 clusters these institutions in another way, according to their market segment, with results similar to those depicted in Figure 2. Not surprisingly, institutions reporting the greatest levels of increased responsiveness in Figure 3 are those most likely to be found at the non-traditional end of the market—that is, among institutions that stress convenience for the part-time student and flexible courses offered at a lower tuition.

Figure 3 Overall Accountability and Market Segment



Despite Losing Market Share, Liberal Arts Colleges and Private Institutions Are Staying Insular

The findings from Figures 2 and 3 corroborate what we see in Figure 1, roughly representing similar sets of institutions that are increasing accountability to more stakeholders: the core and user-friendly/convenience ends of the market are overwhelmingly public, and generally fall into the Comprehensive and Doctoral Carnegie classes. The picture of the traditional "quality" higher education experience in the United States has always been that of the private liberal arts college. Yet, it is the non-traditional institutions—public, user-friendly/convenience, comprehensive, and doctoral institutions that are reporting increasing accountability to more stakeholders. Even when the stakeholder category "government"—for whom private, name-brand institutions and the mostly private liberal arts colleges have historically had little accountability—is subtracted from the equation, these institutions would still only score in the medium response range.

This difference in behavior is also interesting given that liberal arts colleges have been losing market share—that is, the percentage of students enrolled in these schools has steadily decreased over the last two decades—yet they have remained somewhat insular in their behavior. We can explain this phenomenon by referring again to the other side of the paradoxical supply and demand push-pull: It would seem that the forces of demand for private education have had a greater effect on institutional behavior than has the loss in market share caused primarily by the increasing capacity of the public sector.

The Primary Customer Index

In any market there are sellers and buyers. Customers expect a quality product and/or experience for their investment. In the higher education market, consumer investments are not insignificant—and, as such, a consumer mentality has arisen among students and parents. This mentality is not necessarily limited to the more expensive, private side of the market, as public tuition rates have hardly been immune to increases in recent years. Our Primary Customer Index measures to what extent institutions are reporting increased levels of accountability to these primary consumers: students and/or parents.

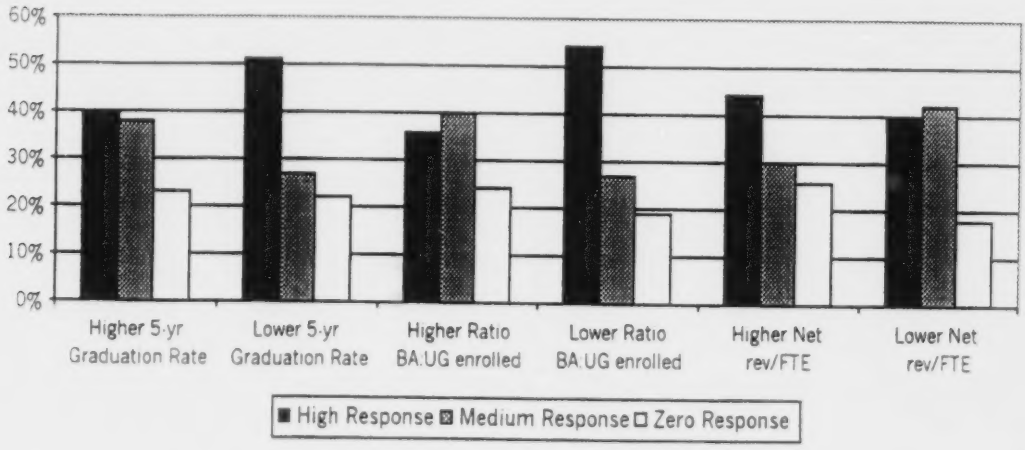
Here, note that the values represented in the response scale change. For Figures 4 and 5, the "high response" group represents institutions that reported increased accountability for *both* students and parents; the "medium response" group represents those that reported increased accountability for *either* students or parents; and the "zero response" group are those who did not

report increased accountability for either stakeholder.

What type of institution was most likely to report an increased responsiveness to higher education's primary consumers—students and parents? Figure 4 shows that those institutions below the median in net revenue per student, five-year graduation rate, and ratio of bachelor's degrees awarded to total undergraduate enrollment are more likely to report having increased accountability to both students and parents. The institutions above the median in these measures are more likely to report having increased accountability to just one group of stakeholders, either parents or students.

Figure 4

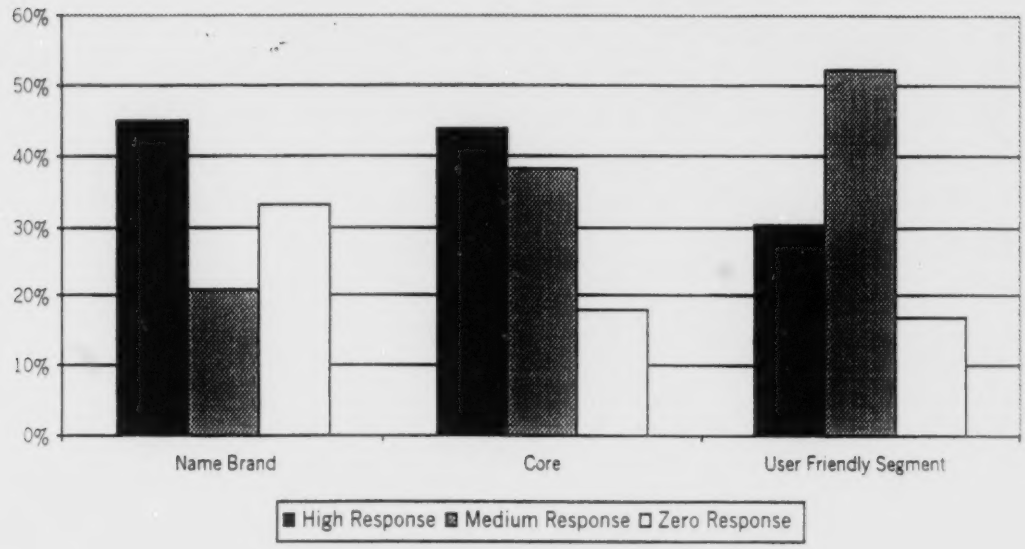
The Primary Customer Index and Institutional Characteristics



Looking at the Primary Customer Index through the prism of the market segments (Figure 5), we see that the name-brand and core institutions are more likely to report increasing accountability to both students and parents, while the user-friendly/convenience institutions report increases to just one group. Intuitively, one would expect that the user-friendly/convenience institutions would be more concerned with answering to students alone, and that assumption turns out to be true. Almost 80 percent of respondents from user-friendly/convenience institutions reported having increased accountability to students—a higher percentage than the overall total. Just 34 percent reported having increased accountability to parents, a full 10 percentage points lower than the overall sample's response.

Figure 5

The Primary Customer Index and Market Segments



Name-brand institutions sent a mixed signal. While 45 percent reported increasing accountability to *both* students and parents, a full third of these institutions reported an increase in accountability to neither group in the previous five years. The generally higher tuition rates of name-brand institutions, coupled with the predominance of traditional students as matriculants in these colleges and universities, presupposes that parents must be answered to as well as students. In many cases, parents foot a large percentage, if not all, of the hefty tuition and fees for their children who attend these institutions. That almost half of the name-brands feel answerable to students and parents supports this presupposition. However, that a full third feel answerable to neither means either that the forces of demand have insulated the name-brands from any particular need to hold themselves accountable—or that they have already dealt with these accountability issues to their own satisfaction.

It may seem contradictory that a plurality of both name-brand institutions and a majority of institutions below the medians in Figure 4's categories report having increased accountability to both students and parents, given that the former group was identified as the non-traditional institutions and the name-brands as the traditional ones. The discrepancy is explained by considering that, within each market segment, there is an ordering of schools—some name-brands score better on measures of competitiveness than do others. Clearly, what we are seeing here is that those name-brand institutions below the median for the measures described are the ones feeling the push to become more accountable to their customers.

The Secondary Customer Index

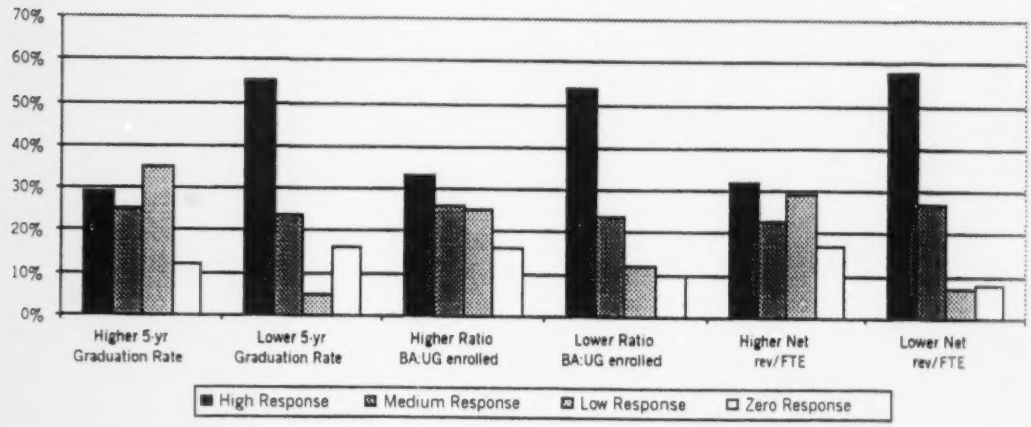
We developed the Secondary Customer Index to reflect the reality that there is, in fact, another group of customers for higher education. The benefits that employers, government agencies, and funding agencies expect to receive in return for their investments are no less tangible than those benefits that our Primary Customers expect. Employers count on colleges and universities to supply a trained workforce capable of adapting to changing technologies and working conditions. Government agencies expect a trained workforce that will maintain a healthy Gross Domestic Product and generate a return on the investment through substantial state and national tax revenue. Funding agencies, particularly those that sponsor research, expect varying degrees of results from their investments. While some funders may be satisfied with supporting knowledge for knowledge's sake, many hope for products with immediate market viability and/or the social utility that medical research, for example, is aimed at delivering.

Once again, the values of the response scale used for the Secondary Customer Index are different. "High response" represents institutions reporting increased accountability for all three stakeholders in this index—employers, government agencies, and funding agencies. "Medium response" indicates the institutions that reported doing so for two of the three stakeholders; "low response" corresponds to reporting one of the three; and "zero response" to none of the three.

The Secondary Customer Index mirrors the patterns of the overall Accountability Index. As shown in Figure 6, those institutions with lower net revenue per FTE student, a lower graduation rate, and a lower ratio of baccalaureate degrees awarded to undergraduates enrolled were more likely to have reported increased accountability to all three of the constituents in the Secondary Customer Index. In fact, those schools with higher-than-median graduation rates were more likely to have reported an increase in accountability to only one stakeholder than to have reported an increase in accountability to two or all three stakeholders.

Figure 6

The Secondary Customer Index and Institutional Characteristics



A look at the index by market segment (Figure 7), as well as by control and Carnegie type (Figure 8), is consistent with the findings from Figure 6. It is those institutions not protected by the insularity of a stronger position in the "traditional" higher education market that report a greater rate of increased accountability over the previous five years. Public institutions, not surprisingly, reported a greater incidence of having increased accountability to all three groups in the index than did private institutions.

Figure 7 The Secondary Customer Index and Market Segments

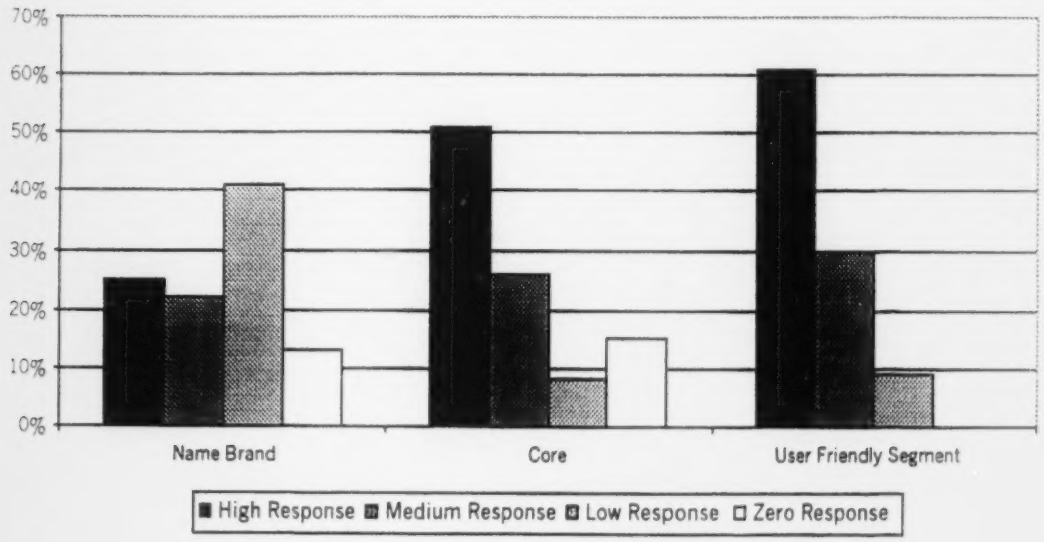
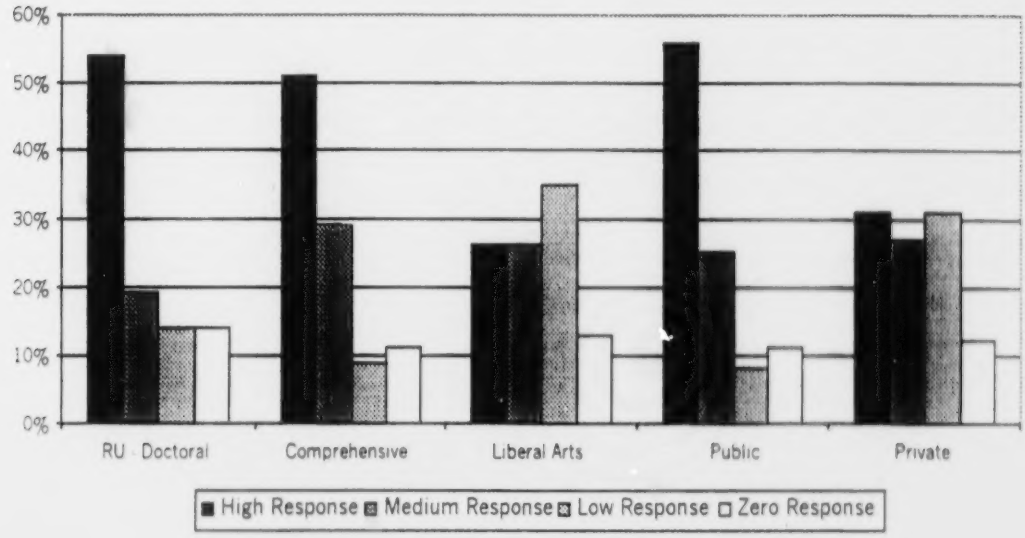


Figure 8

The Secondary Customer Index and Institutional Type



What Drives Increased Accountability?

What causes an institution to report an increase in accountability to greater numbers of stakeholders? To approximate an answer, we estimated a series of regression models matching institutional characteristics and responses to the various questions on Survey B.

We began with the assumption, based on our analysis of the distributions, that revenue would likely be a factor, and an element of the net revenue formula was indeed found to be a major function. Tuition revenue, one of the components of the net revenue per FTE, was chosen for the models since it represents arguably most significant element of the revenue formula and is most susceptible to market pressures. Institutions that do not respond well to the needs of the market should tend to see the results in decreased tuition revenue.

Separate models were estimated for public and private institutions to allow for the vastly different role that tuition revenue plays at each type of institution. The most apparent difference is that average tuition revenue per FTE at private institutions is five times that of publics. While public institutions in the sample gave out an average of $280 per FTE student in institutional aid, private institutions awarded $4,450. That $280 for the publics represents 8 percent of the average tuition revenue generated per FTE, and the $4,450 granted by privates represents 29 percent of their tuition revenue. The $4,450 awarded in institutional financial aid by private institutions is

almost double the endowment revenue per FTE student—and accounts for an interesting phenomenon: tuition revenue per FTE being larger than net revenue per FTE, even though tuition revenue is an element of net revenue. It is an old story, but one that is highlighted once again in an unintended way. In an effort to maintain market share while raising sticker price, private institutions are forgoing a considerable percentage of their own tuition revenue. Hence, we estimated separate models using an adjusted tuition revenue figure: tuition revenue less institutional aid, divided by FTE. Table 3 (for private institutions) and Table 4 (for publics) detail the models.

As shown in Table 3, the adjusted tuition revenue per FTE was a very strong predictor for private institutions, albeit with a minimal effect. The other significant predictor in the private model was the question from Survey B that asked whether the institution had implemented a formal plan to improve name recognition or reputation. The implication for private institutions is clear: Accountability to stakeholders is a function of the revenue generated through tuition and the responsiveness to the market in terms of needing to improve name recognition. The need to generate more tuition revenue is what drives institutions to launch media campaigns to heighten that name recognition. Very close to being significant (with a p value of .0543) was the ratio of baccalaureate degrees awarded to undergraduates enrolled. This variable, when divided along the median, showed institutions to be behaving differently in terms of the number of stakeholders to which they reported having increased accountability (see Figures 2, 4, and 6).

The story for public institutions is similar, though a bit more complex (Table 4). As with private institutions, tuition revenue and responsiveness are important, but so is size. However, the nature of the responsiveness for publics is different—it constitutes a responsiveness between and among groups charged with running the institutions, namely the faculty and the board. The variable measuring responsiveness in this case was Question 6c from Survey B, asking: "Is better coordination between the Board of Trustees and faculty necessary to increase your institution's ability to reform itself?" What we see, then, is that public institutions reporting increased accountability also feel the need to ensure that faculty and boards (which in the public sector can be local or statewide governing boards) have a good working relationship to move the institution forward with its change efforts.

Table 3

Predicting Accountability at Private Institutions

Variable	Parameter Estimate
Intercept	.93***
Adjusted tuition revenue per FTE	.0000491**
Has institution implemented formal plan to improve name recognition? (yes/no)	.23*
Ratio of bachelor's degrees awarded to undergraduates enrolled	-2.44
Average faculty salary	-.000011

Adjusted r^2 - .24

* Significant at >.05 ** Significant at >.01 *** Significant at >.001

Table 4

Predicting Accountability at Public Institutions

Variable	Parameter Estimate
Intercept	.52
Number of FTE students	.0000145*
Is better coordination between Board and faculty necessary for reform to take place on campus? (yes/no)	.20*
Adjusted tuition revenue per FTE student	.0000741*
Has institution expanded offerings of remedial courses to freshman and transfer students? (yes/no)	.20
Amount spent per FTE student on educational and general expenditures	-.000016
Has institution implemented formal plan to understand and improve retention?	.33
Ratio of bachelor's degrees awarded to undergraduates enrolled	-2.82
Has institution implemented formal plan to improve name recognition? (yes/no)	.33
Five year graduation rate	-.27

Adjusted r^2 - .28 * Significant at >.05

A Concluding Perspective

While the magnitude of increase in accountability varies for different sets of U.S. schools, the analysis reflects just how often colleges and universities across the institutional spectrum are both hearing and heeding the calls of their constituencies. It also demonstrates just how much and how often questions of accountability are entangled with concerns about a shifting market for students. As IRHE's work shows, there is a strong interplay between an institution's market position and its attempts to increase accountability, even for those prestigious or traditional private institutions who, by virtue of their success in the educational marketplace, have been somewhat buffered from its effects.

Appendix A

Survey A
Instrument and Question Responses

Survey A Instrument and Responses*
Higher Education Project, Six-Nation Education Research Project

* Responses for open-ended questions are not included.

	Percent Answering "Yes"	Percent Answering "No"	Missing/ Do Not Know
1. Vice Presidents			
a. Does your institution have Vice Presidents or the equivalent?	98%	2%	0%
If yes, ask...			
b. What other titles have been used in the last five years for positions that are equivalent to that of a Vice President?	Open-ended responses		
c. Enter total number of other titles that are equivalent to Vice President.			
Distribution of number of VP equivalent titles reported:	**Percent**	**Cumulative Percent**	
Missing	**31%**	**31%**	
1	**39%**	**70%**	
2	**24%**	**94%**	
3	**4%**	**98%**	
4	**1%**	**1%**	
5	**1%**	**1%**	
d. Has there been a consolidation or expansion in the number of Vice Presidential positions in the last five years?	54%	44%	2%
e. Has there been an organizational change in reporting lines of Vice Presidents in the last five years?	36%	61%	3%
2. Priorities, Budget & Planning or Equivalent Committee			
a. Is there a senior level administrative committee that has responsibility (either advisory or operational) for setting the budget and planning priorities?	88%	11%	1%
If yes, have the respondent supply the following information:			
b. Name of Committee	Open-ended responses		
c1. Composition	Open-ended responses		

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	Percent Answering "Yes"	Percent Answering "No"	Missing/ Do Not Know
c2. Enter total number of members.	Open-ended responses		
d. Year Established	Open-ended responses		
e. By Whom	Open-ended responses		
3. Special Task Forces			
a. In the last five years, has your college or university established or appointed any special task forces or other ad hoc committees to propose/implement organizational change at the institutional level? If yes, have the respondent supply the following information	55%	44%	1%
b. Name of most recent ad hoc committee	Open-ended responses		
c1. Composition of most recent committee	Open-ended responses		
c2. Enter total number of members listed above.	Open-ended responses		
d. Year most recent committee was established	Open-ended responses		
e. Goals and objectives of most recent ad hoc committee	Open-ended responses		
4. Faculty Governance			
a. In the last 5 years, has the formal faculty governance structure changed in any of the following areas?	8%	92%	0%
a1. Name of formal body? If yes ask for...	Open-ended responses		
a2. Old Name	Open-ended responses		
a3. New Name	Open-ended responses		
b1. Requirements or qualifications for membership?	14%	85%	1%
b2. If yes ask for brief detail of change	Open-ended responses		
c1. Procedure for establishing an agenda?	12%	86%	2%
c2. If yes ask for brief detail of change	Open-ended responses		
d1. Rules/Procedures for reaching decisions?	14%	85%	1%
d2. If yes ask for brief detail of change	Open-ended responses		
e1. Other changes?	27%	70%	3%
e2. If yes ask for brief detail of change	Open-ended responses		
5. Restructuring and/or Related Change Agenda			

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	Percent Answering "Yes"	Percent Answering "No"	Missing/ Do Not Know
a. Does your institution have a standing Administrative and/or Faculty entity to promote a change agenda? Examples: task forces concerned with efficiency, productivity, quality control? If yes, have the respondent supply the following information:	38%	61%	1%
b. Name of most recent standing committee	Open-ended responses		
c1. Composition of most recent standing committee	Open-ended responses		
c2. Enter total number of members listed above.	Open-ended responses		
d. Year most recent committee was established.	Open-ended responses		
e. Primary purpose of most recent committee	Open-ended responses		
6. President/Board Chair			
a. What position did your current President hold, and at which institution, immediately prior to becoming President?	Open-ended responses		
a1. Position:	Open-ended responses		
a2. Institution:	Open-ended responses		
b. What position, if any, within the institution did the current Chair of your Board of Trustees hold prior to joining the board?	Open-ended responses		
c. What is the professional/business title of the current Chair of your board?	Open-ended responses		
7. Board of Trustees/Regents			
a. In which of the following areas has the formal organization/structure of the board been changed over the last five years?			
a1. Name of formal body? If yes ask for...	2%	85%	13%
a2. Old Name	Open-ended responses		
a3. New Name	Open-ended responses		
b1. Requirements or qualifications for membership?	12%	72%	16%
b2. If yes ask for brief detail of change	Open-ended responses		
c1. Procedure for establishing agenda?	13%	70%	17%
c2. If yes ask for brief detail of change	Open-ended responses		

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	Percent Answering "Yes"	Percent Answering "No"	Missing/ Do Not Know
d1. Rules/Procedures for reaching decisions?	11%	73%	16%
d2. If yes ask for brief detail of change	Open-ended responses		
e1. Other changes?	39%	45%	16%
e2. If yes ask for brief detail of change	Open-ended responses		
8. Consolidation			
a. Has your institution created, discontinued or combined any schools, departments, programs or major administrative units within the last five years? If yes, have the respondent supply the following information	72%	28%	0%
b. Description of administrative changes	Open-ended responses		
c. Description of academic changes	Open-ended responses		
9. Exchange Programs			
a. Does your institution have an international exchange program with one or more institutions abroad? If yes ask...	85%	11%	4%
b. How many institutions?	Open-ended responses		
10. Participation in Consortia			
a. Is your institution a member of an academic or professional consortium linking together several academic institutions? If yes ask ...	83%	17%	0%
b. What is the name of the major consortium your institution considers the most important to its educational mission? Indicate the privileges (from the list below) which membership in that consortium conveys.	Open-ended responses		
c1. Students may attend a class at a member institution for which they receive academic credit that satisfies core or major degree requirements?	41%	17%	42%
c2. Students may attend a class as an elective at a member institution?	42%	14%	44%
c3. Faculty may teach classes at a member institution?	28%	27%	45%

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	Percent Answering "Yes"	Percent Answering "No"	Missing/ Do Not Know
c4. Faculty may organize classes taught with faculty at another member institution(s)?	30%	25%	45%
c5. Facilities at your college or university may be used by faculty, students and staff of other member institutions?	35%	23%	42%
c6. Information regarding institutional reform is exchanged among member institutions?	42%	13%	45%
c7. Other privileges	Open-ended responses		
11. Participation in Consortia for Economic/Community Development			
a. Does your institution participate in regional consortia for the purpose of local economic or community development? If yes, ask...	42%	13%	45%
b. Please supply the names of the most important of these consortia.	Open-ended responses		
c. Enter total number of consortia entered.	Open-ended responses		
12. Continuing Education			
a. Does your institution have a continuing education program?	83%	17%	0%
13. Library Access			
a. Does your institution allow local community access to your library?	94%	3%	3%
14. Faculty Development			
a. Does your institution have a faculty development program or system for newly appointed faculty?	92%	6%	2%

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Appendix B

Survey B
Instrument and Question Responses

Survey B Instrument and Responses*
Higher Education Project, Six-Nation Education Research Project

* Responses for open-ended questions are not included.

	Percent Answering "Yes"	Percent Answering "No"	Missing/ Do Not Know
1. I would like to ask you about efforts your institution is currently undertaking to improve the teaching and research environments. In some cases, these efforts apply to departments, in some cases to the university as a whole, and in some cases to both.			
a1. Is your institution currently working to increase the internationalization of your research programs? If yes ask...	58%	31%	11%
a2. Have these efforts increased in the last 5 years?	56%	2%	42%
b1. Is your institution currently working to increase the internationalization of your teaching programs? If yes ask...	90%	9%	1%
b2. Have these efforts increased in the last 5 years?	83%	7%	10%
c1. Is your institution currently promoting interdisciplinary research activities? If yes ask...	74%	16%	10%
c2. Have these efforts increased in the last 5 years?	72%	2%	26%
d1. Is your institution currently promoting interdisciplinary teaching activities? If yes ask...	96%	3%	1%
d2. Have these efforts increased in the last 5 years?	88%	7%	5%
e1. Is your institution currently promoting research activities which take into account societal issues? If yes ask...	71%	20%	9%
e2. Have these efforts increased in the last 5 years?	60%	7%	33%
f1. Is your institution currently promoting teaching activities which take into account societal issues? If yes ask...	92%	7%	1%
f2. Have these efforts increased in the last 5 years?	82%	8%	10%
g1. Is your institution currently working to promote cooperation with other universities in research? If yes ask...	63%	27%	10%

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	Percent Answering "Yes"	Percent Answering "No"	Missing/ Do Not Know
g2. Have these efforts increased in the last 5 years?	54%	9%	37%
h1. Is your institution currently working to promote cooperation with other universities in teaching? If yes ask...	85%	14%	1%
h2. Have these efforts increased in the last 5 years?	80%	5%	15%
i1. Is your institution currently promoting cooperation with your local community in research? If yes ask...	69%	23%	8%
i2. Have these efforts increased in the last 5 years?	63%	4%	33%
j1. Is your institution currently promoting cooperation with your local community in teaching? If yes ask...	89%	10%	1%
j2. Have these efforts increased in the last 5 years?	82%	5%	13%
2. Keeping in mind the same two domains of research and teaching, please tell me if your institution is currently working towards the following objectives:			
a1. Diversity in your research staff If yes ask...	64%	21%	15%
a2. In the last 5 years, has progress been made towards reaching this objective?	50%	13%	37%
b1. Diversity in your teaching staff If yes ask...	98%	1%	1%
b2. In the last 5 years, has progress been made towards reaching this objective?	85%	13%	2%
c1. Diversity in your student body If yes ask...	95%	4%	1%
c2. In the last 5 years, has progress been made towards reaching this objective?	80%	14%	6%
d1. Flexible research programs If yes ask...	67%	21%	12%
d2. In the last 5 years, has progress been made towards reaching this objective?	64%	3%	33%
e1. Flexible teaching programs If yes ask...	92%	6%	2%

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	Percent Answering "Yes"	Percent Answering "No"	Missing/ Do Not Know
e2. In the last 5 years, has progress been made towards reaching this objective?	89%	3%	8%
f1. Access to research faculty by external agencies/constituencies If yes ask...	63%	22%	15%
f2. In the last 5 years, has progress been made towards reaching this objective?	56%	6%	38%
g1. Access to teaching faculty by external agencies/constituencies If yes ask...	75%	24%	1%
g2. In the last 5 years, has progress been made towards reaching this objective?	67%	7%	26%
h1. Efficient administrative units responsible for the research enterprise If yes ask...	56%	28%	16%
h2. In the last 5 years, has progress been made towards reaching this objective?	47%	8%	45%
i1. Efficient administrative units responsible for the teaching enterprise If yes ask...	85%	14%	1%
i2. In the last 5 years, has progress been made towards reaching this objective?	73%	11%	16%
3. What are the most important steps your institution has taken to improve its overall quality in the last 5 years?	Open-ended responses		
4. In the last five years, has your institution implemented a formal plan for improving its name-recognition or reputation? If yes ask...	69%	29%	2%
a. Briefly describe the plan and its major successes to date.	Open-ended responses		
b. In the last five years, has your institution implemented a plan for understanding and improving student retention toward graduation? If yes ask...	83%	14%	3%
b1. Briefly describe the plan and its major successes to date.	Open-ended responses		

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		Percent Answering "Yes"	Percent Answering "No"	Missing/ Do Not Know
5.	In the last five years, has your institution implemented a strategic plan for increasing general accountability to the following constituents?	See report for a detailed analysis of responses to this question.		
6.	Which of the following do you deem necessary to increase your institution's ability to reform itself? More than one may apply			
	a. An increase in the President's authority?	18%	80%	2%
	b. Better coordination between the Board of Trustees and the President?	39%	60%	1%
	c. Better coordination between the Board of Trustees and the faculty?	47%	50%	3%
	d. Better coordination between the President and the faculty?	59%	40%	1%
	e. More consultation with external constituencies?	70%	28%	2%
	f. Other	Open-ended responses		
7.	a. Does your institution have a formal articulation agreement with any two-year colleges ensuring recognition of credits students earn there?	82%	15%	3%
	b. Has your institution expanded its offerings of remedial courses to freshmen and transfer students? If yes ask...	31%	67%	2%
	b1. In what areas and for which students?	Open-ended responses		
8.	a. Has there been a major initiative to reform general education over the last five years? If yes ask...	80%	19%	1%
		More	**Fewer**	**Same**
	b. Has the change allowed more or fewer electives?	**24%**	**22%**	**30%**
	c. Fewer or more required courses?	**23%**	**19%**	**34%**
	d. Has the change made it possible to satisfy general education requirements by ways other than taking courses? For example, have you instituted proficiency exams? If yes, which of the following items were part of the rationale for taking on the reform of general education?	24%	53%	23%
	e. Weakened capacity of units responsible for offering general education programs?	6%	74%	20%

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		Percent Answering "Yes"	Percent Answering "No"	Missing/ Do Not Know
	f. Declining quality of general education courses and programs as compared to courses and programs in the major and/or leading to professional certification?	14%	66%	20%
	g. Faculty members acting independently in deciding what ought to be taught in their own general education courses?	26%	54%	20%
	h. Curricular inconsistencies?	49%	31%	20%
	i1. Response to initiatives by competing institutions?	16%	64%	20%
	i2. Please list your competitors	Open-ended responses		
	i3. Enter total number of competitors listed.	Open-ended responses		
	j. Others	Open-ended responses		
9.	a. Which colleges or universities do you consider to be exemplary in the area of reform of general education?	Open-ended responses		
	b. Enter total number of college or universities listed.	Open-ended responses		

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Concluding Remarks

Dimensions of Comparison with a Focus on Importance of Governance Structure

Akira Arimoto
Hiroshima University

Dimensions of Comparison with a Focus on Importance of Governance Structure

Akira Arimoto
Hiroshima University

Many important problems were discussed intensively in the two-day long workshop with a focus on the academic governance. However, these discussions seemed to be too diversified and complicated to bring about a simple conclusion which explains from a comparative perspective the present trends in all countries. Even though this kind of difficulty was prevailing at the final stage of discussions, it is also true that almost all participants came to share a similar kind of recognition that universities and colleges are confronted to reform themselves in order to cope with pressures from inside and outside their campuses: from inside through a logic of academism and from outside through a logic of accountability. The former, generally caused by the development of academic disciplines, is working as an indispensable pressure from inside academia. The latter is caused by society's acceptance of the market principles and mechanisms, and is increasingly working as pressure from outside.

These pressures are thought to be working together in all countries, leading to a similar kind of academic reforms throughout the three countries as well as many countries in the world. Accordingly, participants made an effort to summarize the current state of such changes observable in the three countries. Synthesizing the different and complicated contents properly seen in every country is realized as much as possible by comparison of the changes, especially with a focus on the academic governance which was transformed from traditional to new functions so as to meet the current pressure from both inside and outside.

"The dimensions of comparison" related to the topics of the workshop were thoroughly discussed. As shown in the table, they consist of five categories: (1) the role of government; (2) importance of governance structures; (3) sources of income; (4) evaluation/assessment; and (5) budget control. Robert Zemsky and Gregers Dubrow, who originally introduced the framework for the dimension of comparison, was successful of elaborating it as a result of the intensive discussions among participants at the final session of the workshop. In the following, some comments are offered as the results of considerations.

For each dimension, the analysis of change is expressed by two categories, i.e. the score and the direction of change. Brief traits observable in the four dimensions are described below, followed by some more detailed traits in the dimension of the importance in governance structure.

(1) role of government:

Regulation, general funding, targeted funding, coordination are all moving toward falling influence in Japan, while in Switzerland neither factor is changing in influence with the exception of general funding which is showing the same movement toward less government influence as in Japan. The United States are moving toward less influence on all scores except regulation and targeted funding. In these categories, Japan and the United States share the same kind of trend. All three countries have the same trend concerning competition and assessment where all countries are moving toward rising influence.

(2) sources of income:

Government has high level of influence in Japan, while government influence is falling in both Switzerland and the United States. As discussed previously, market mechanisms are now having more influence in all countries.

(3) budget control:

The table shows that Switzerland is centralized and Japan and the Unites States are decentralized with respect to the budget process.

(4) evaluation/assessment:

There are several factors covered by this dimension. The fact that various trends can be observed in the three countries suggests that diversification is institutionalized in terms of evaluation and assessment. Some differences are as follows: in the first place, evaluations in Japan and the United States are often external, while Switzerland they are internal. Especially Japan and the United States are going toward high level of external review. Second, news paper ranking is ordinary carried out in Switzerland and the United States, while it is not conducted in Japan. Third, ranking by business firms is occurring in Japan, but not in Switzerland and the United States.

(5) importance in governance structures:

Governance structures are theoretically and analytically categorized into eight factors: board; president/rector; deans; departments; faculty governance body; professorate; general representative bodies; and the role of education ministries. Among these factors, boards of trustees are usually institutionalized in the academic governance structure in Switzerland and the United States. They are now gradually strengthening their powers, while such boards are not institutionalized in the Japanese national sector: however, while they are found in private sector institutions, they are now gradually decreasing in importance. As far as the top level of governance is concerned, the United States' boards are moving toward rising influence, even if they have already had high influence. Switzerland's boards are going in the same direction as well, though they have not had so strong an influence in the past, compared with their counterparts in the United States. Meanwhile, while Japanese boards in the private sector seem to be decreasing their influences, attention should be paid that the University Council recommended in its 1998 report to increase leadership and authority of the boards of trustees.

As was discussed in some papers presented to the workshop by the Japanese team, "presidents" in the United States are considered to have much stronger influence in the administration and management than "rectors" in the European countries. However, Switzerland is now moving from the position of a medium level of influence to that of increased influence. In Japan, on the other hand, presidents in the private sector possess almost the same power and influence as the presidents in the United States, while those in the national sector which have had rather weak powers thus far are now also shifting toward the same direction.

Such trends at the top level of governance reveal the strengthening of its influences in the academic governance structure. On the contrary, at the middle level of governance, eg. the deans, there is conflicting evidence in the three countries. The middle level is raising in influence in the United States and Japan, while decreasing in Switzerland.

Departments have had a medium level of influence in both the United States and Switzerland thus far, but their power is gradually decreasing in recent years, especially in the United States. There exists a contrast picture then in that the top level is increasingly gaining hegemony, the lower level, or the operating level, on the

other hand, is increasingly loosing powers. Parallel to this development, the faculty governance body is loosing influence in the United States and Switzerland in spite of having the lower level with less influence. This is contrast compared to Japan, where faculty governance bodies are gaining in importance while the lower level is also experiencing a lesser powers. It is interesting to note that the faculty governance body is likely to keep still much influence and even gaining much more in the future. However, Japanese individual professors who have enjoyed high levels of influence thus far seem to loose it to some extent, especially professors in the national sector.

Concerning the top level of governance, usually situated at the level of national government, especially at the Education Ministry, it is remarkable that national ministries in the United States and Switzerland are loosing even their traditionally low level of influence, while in Japan traditionally high level of influence of Monbusho is even on the raise. This is probably observable through the recent establishment of a national agency of university evaluation through which the national government is likely to strengthen its influences upon universities and colleges, especially in the national sector, even though this agency conducts its evaluations of such institutions by way of the group of professionals. The government is increasingly controlling the higher education institutions through this kind of national agency, even it is not by way of direct control but a sort of indirect control of professionals. Such apparent trends in some countries suggest the appearance of "Evaluating State" as Guy Neave called this phenomenon in European countries.

In general, we can recognize a comparable trend in the style of academic governance. Presidents and rectors are theoretically and actually expected to increase their leaderships and influence on the administration and management in academic governance in all three countries. This trend seems to show that the academic governance is now shifting from the rector, who has incorporated the traditional style of leadership in European universities for many years as a result of imprinting academic guild, to the president-type leader, which developed in American universities as a result of introducing corporate management in the modern industrial society. This means the academic governance is shifting from the orientation of academic autonomy looking for values such as freedom of research, teaching, and learning, etc. toward the orientation of social accountability looking for values such as rationalization, efficiency, competition, etc. However, if we see the table more carefully and precisely, every country has its own traits and characteristics and hence it is fairly difficult for us to summarize these traits and characteristics in a single category with paying little attention to many differences which will be concealed behind the described indicators.

In summary, we must pay much more attention to these facts related to the various dimensions of comparison in order to understand the conditions and backgrounds working behind the different factors as they are discussed in the various papers presented in this workshop. The typology of the dimensions of governance shown here needs probably to be improved to a considerable degree by more profound discussions and detailed analysis. Especially the analysis of the current trends of academic governance in the three countries is likely to contain insufficient parts that need improvement. However, as a document of our intensive discussions, the mode can be expected to be used for more elaboration of the international comparative study on academic governance in the field of research in higher education throughout the World as well as the six countries participating in the Six-Nation Higher Education Research Project.

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Dimensions of Comparison

Role of Government

	Japan		Switzerland		United States		
	Score	Direction	Score	Direction	Score	Direction	
Regulation	H	-1	H	0	L	1	*
General Funding	H	-1	H	-1	L	-1	**
Targeted Funding	L	1	L	0	M	1	**
Policy/Planning	H	-1	L	1	M	-1	***
Coordination	H	-1	L	1	M	-1	
Competition	M	1	O	1	L	1	
Assessment	M	1	O	1	M	1	****

Legend
- H = High level of influence
- M = Medium level of influence
- L = Low level of influence
- O = No change in influence
- 1 = Influence rising
- -1 = Influence falling

Notes (for US only):
* -- If institution receives government funds
** -- Reflection of philanthropic patterns
*** -- Transfer of influence from federal to state
**** -- At the state level

Sources of Income

	Japan		Switzerland		United States	
	Score	Direction	Score	Direction	Score	Direction
Government	H	1	H	-1	L	-1
Philanthropy	O	0	L	-1	M	1
Market (tuition, research, auxiliary, etc)			M	1	H	1
National (Japan only)	M	1				
Private (Japan only)	H	-1				
As % of GNP	L	1	H	0	H	1

Legend
- H = High level of influence
- M = Medium level of influence
- L = Low level of influence
- O = No change in influence
- 1 = Influence rising
- -1 = Influence falling

Budget Control

	Japan	Switzerland	United States
	Score	Score	Score
Government Funds			
Block Grant	M	L	M
Rollover from one FY to the next	L	M	H
Is institutional budget process centralized or decentralized?	D	C	D
Is unit of control rev or exp?	E	E	R
Past budget as a constraint on future budget plans	H	H	H
Impact of strategic long-range planning on budget decisions	L	L	L

Legend
- H = High level of influence
- M = Medium level of influence
- L = Low level of influence
- D = Decentralized
- C = Centralized
- R = Revenue
- E = Expense

154

Evaluation/Assessment

	Japan		Switzerland		United States	
	Score	Direction	Score	Direction	Score	Direction
Source	E		I		E	
Overall direction	H	1	M	1	M	1
How						
peer review	Yes	*	Yes		Yes	****
high level external review	Yes	*			Yes	****
ministry budget allocation	Yes					
entrance score test comparison	Yes	**				
newspaper rankings			Yes	***	Yes	*****
rankings by business firms	Yes					
government review based on data	Yes					
consumer review					Yes	

(includes student surveys and outcomes testing/measurement)

Legend
- E = External
- I = Internal
- H = High level of influence
- M = Medium level of influence
- L = Low level of influence
- O = No change in influence
- 1 = Influence rising
- -1 = Influence falling

Notes
* - Impacts budget decisions
** - Market mechanism
*** - Not present now, but is expected in the near future.
**** - Old model of accreditation hasn't been as effective. The agencies are sometimes too cozy with institutions.
***** - has lead to marketing and program review.

Importance of Governance Structures

	Japan		Switzerland		United States	
	Score	Direction	Score	Direction	Score	Direction
Boards			0	1	H	1
National (Japan only)	N/A					
Private (Japan only)	H	-1				
President/Rector			M	1	H	1
National (Japan only)	L	1				
Private (Japan only)	H	1				
Deans	L	1	M	-1	H	1
Departments			M	0	M	-1
National (Japan only)	H	-1				
Private (Japan only)	L	0				
Faculty Governance Body	H	1	L	-1	L	-1
Professorate (as individuals)			L-M	0	M	1 *
National (Japan only)	H	-1				
Private (Japan only)	M	-1				
General representative bodies (for staff/students/adjuncts)	O	0	L-M	-1	L	-1
Role of Education Ministry	H	1	L	-1	L	-1

Legend
- H = High level of influence
- M = Medium level of influence
- L = Low level of influence
- O = No change in influence
- 1 = Influence rising
- -1 = Influence falling

Notes (for US only): * -- Provided the professor is attracting grant funding

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